

Schena, Cristeen

From: Nick Napoli <nnapoli@northeastoceancouncil.org>
Sent: Tuesday, February 04, 2014 11:11 AM
To: Timmermann, Timothy
Subject: RE: NE Ocean Planning Regulatory Proposal Review
Attachments: NROC SeaPlan Team Proposal 1-27-14.pdf; TCG Proposal to NROC 1-27-14.pdf; UHI NROC Proposal January 27 2014 (1).pdf; Regulatory RFP_Final.pdf; RegulatoryRFP_q+a.pdf; Score sheet-RegulatoryRFP.docx

No hassle at all. Thanks Tim. Here are the proposals, the score sheet, the RFP, and the q&a with potential bidders.

Are you available Thursday morning from 10-11?

Thanks,
Nick

From: Timmermann, Timothy [<mailto:Timmermann.Timothy@epa.gov>]
Sent: Tuesday, February 04, 2014 10:56 AM
To: Nick Napoli
Subject: RE: NE Ocean Planning Regulatory Proposal Review

Nick:

How much of a hassle is it to send me the materials? I'm not sure how much it is to get through but I could take a good run at it tomorrow. I am willing to take a look.

tt

Timothy L. Timmermann, Associate Director
Office of Environmental Review
EPA New England-Region 1
5 Post Office Square, Suite 100
Mail Code ORA 17-1
Boston, MA 02109-3912

Email: timmermann.timothy@epa.gov
Telephone: 617-918-1025
E-Fax: 617-918-0025

From: Nick Napoli [<mailto:nnapoli@northeastoceancouncil.org>]
Sent: Tuesday, February 04, 2014 9:49 AM
To: Timmermann, Timothy
Subject: RE: NE Ocean Planning Regulatory Proposal Review

Thanks Tim. We're meeting Thursday morning at 10 to discuss our review, so it's really a matter of whether you think you can read through the proposals by then. Up to you – love to have your opinion, but also recognize the short timeline.

Nick

From: Timmermann, Timothy [<mailto:Timmermann.Timothy@epa.gov>]
Sent: Monday, February 03, 2014 10:23 AM
To: Nick Napoli
Subject: RE: NE Ocean Planning Regulatory Proposal Review

Nick:

If I'm not too late I can give it a shot helping out with this review.

Let me know.

Tim

Timothy L. Timmermann, Associate Director
Office of Environmental Review
EPA New England-Region 1
5 Post Office Square, Suite 100
Mail Code ORA 17-1
Boston, MA 02109-3912

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Telephone: 617-918-1025
E-Fax: 617-918-0025

From: Nick Napoli [<mailto:nnapoli@northeastoceancouncil.org>]
Sent: Tuesday, January 14, 2014 10:22 AM
To: 'Betsy.Nicholson'; christopher.Boelke@Noaa.gov; Timmermann, Timothy; Moskal, John; 'Hubbard, Daniel CTR'; LaBelle, Robert (Robert.LaBelle@boem.gov); 'Leyden, Kathleen'; 'Carlisle, Bruce (EEA)'; 'Grover Fugate'; Brian Thompson (brian.thompson@ct.gov); 'Richard Getchell'; John Weber; 'Katie Lund'; 'Denise Desautels - NOAA Federal'; Karen.k.adams@nae02.usace.army.mil; 'Burack, Thomas S'; robert.j.desista@nae02.usace.army.mil; stephen.bowler@ferc.gov; christian.williams@des.nh.gov; 'Burrowes, Todd'; Cote, Mel; Lyons, Regina; McCarthy, Jennifer L NAE; Kotelly, Kevin R NAE
Cc: Howe, Dawn
Subject: NE Ocean Planning Regulatory Proposal Review

Hi,

I am looking for 3 people to review proposals in response to our RFP: "To Support the Identification of Options to Enhance Inter-Agency Coordination, Public Input, and the use of Data in Decision Making". Proposals are due January 27th. I'll distribute proposals on 1/28 and would aim to have a call with the proposal review team the following week.

We had four organizations participate in the potential bidder's call last week and I know of at least one other firm that is interested. So, I'm expecting 3-5 proposals. Please let me know if you're interested and available to review proposals during that time.

Thanks,
Nick

January 27, 2014

Executive Team

Stephanie Moura – Managing Partner
Deerin Babb-Brott – Senior Partner
Andrew Lipsky – Senior Partner

SeaPlan Advisory Board

Bill Adler
Massachusetts Lobstermen's Association

Priscilla Brooks
Conservation Law Foundation

John Bullard
NOAA Fisheries

Bruce Carlisle
Massachusetts Coastal Zone Management

Richard Delaney
Provincetown Center for Coastal Studies

Paul Diodati
Massachusetts Division of Marine Fisheries

Greg Glavin
Onset Bay Marina and Yacht Sales

John Miller
Marine Renewable Energy Center

David O'Connor
ML Strategies

David O'Donnell
New England Council

Andrew Rosenberg
Union of Concerned Scientists

Mr. John Weber
Ocean Planning Director
Northeast Regional Ocean Council

Dear Mr. Weber,

It is my pleasure to submit a proposal in response to the Northeast Regional Ocean Council's (NROC) RFP: *To Support the Identification of Options to Enhance Inter-Agency Coordination, Public Input, and the use of Data in Decision Making*. SeaPlan understands the importance of the project and has assembled a team with demonstrated expertise in the subject matter. The SeaPlan team will be led by Senior Partner Deerin Babb-Brott, and includes CoastalVision, the ESS Group, and Roger Williams University Marine Affairs Institute. Senior technical experts from each organization will contribute significant time to this effort.

This project supports the work of the New England Regional Planning Body (RPB), through its Regulatory Work Group (RWG), in addressing 'effective decision making' as one of three goals of its work plan that will be integrated to form a regional marine plan. A subset of the RPB objectives are addressed by this RFP, which requests support for the RWG's work in developing options about how decision making could be enhanced through increased agency coordination and the use of regional data and other supporting information. Our intention is to support the work of NROC and the RWG by presenting an expert- and public process-informed product that provides a strong foundation for subsequent RPB action.

We appreciate this opportunity to support the important work of the Northeast Regional Ocean Council. Please contact me with any questions about this proposal.

Sincerely,



Deerin Babb-Brott
Senior Partner
207-230-9381
Dbabb-brott@seaplan.org



**To Support the Identification of
Options to Enhance Inter-Agency
Coordination, Public Input, and the
use of Data in Decision Making**

January 27, 2014

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Executive Summary

SeaPlan, together with our collaborators – ESS Group, CoastalVision, and Roger Williams University Marine Affairs Institute (RWU) – understands the importance of the work the Northeast Regional Ocean Council (NROC) is seeking through its RFP. This project supports the work of the New England Regional Planning Body (RPB), through its Regulatory Work Group (RWG), in addressing ‘effective decision making’ as one of three goals of its work plan that will combine to form a regional marine plan. A subset of the RPB objectives are addressed by this RFP, which requests support for the RPB’s work in developing options about how decision making could be enhanced through increased agency coordination and the use of regional data and other supporting information (hereafter “options”).

Our team is equipped to deliver a successful project. We bring strong, relevant experience in the following areas:

- Marine planning practice, policy, and law at state, regional, and national levels and strong familiarity with the issues, actors, and challenges in New England;
- Collaborative development, assessment, and implementation of options for using existing authorities to support multi-objective ocean management planning; and
- NEPA review, Corps of Engineers permitting, and the application of state and federal policy and regulations related to major projects in federal and state waters, including the four highlighted uses.

SeaPlan senior partner Deerin Babb-Brott brings recognized expertise in marine planning and the development and assessment of options for effective decision making. He will serve as the point of contact with NROC and as lead project manager, supported by team members with extensive experience in government and private sector regulatory practice and expertise in the use of spatial data and administrative procedures under NEPA, Corps of Engineers permitting, and other relevant authorities. Our team offers a strong and effective synthesis of practical experience in ‘real-world’ conditions and practice in leveraging that experience collaboratively with agencies, stakeholders, and the public to assist NROC in supporting the work of the RPB.

The RPB seeks to develop options that integrate spatial data, agency coordination, and informed public access to decision making, focusing on National Environmental Policy Act (NEPA) review and permitting under the Corps of Engineers as primary vehicles for doing so. A major emphasis of the project therefore entails engaging federal and state agencies and regulatory professionals working with industry and public interest groups through group and individual meetings (“meetings”) and in RPB-organized workshops to identify potential options. The work plan builds on and augments initial research and efficiently maximizes SeaPlan team and meeting participants’ time and the value of the multiple research meetings through the development and use of meeting material templates that will effectively capture information, assist in identifying needed additional research, and roll up efficiently into a robust, transparent interim product that presents both draft potential options and, as appropriate, options for how they can be assessed, for public review and comment and subsequent presentation at the public workshop. To further support analysis and discussion, we propose to develop with NROC a practical, intuitive methodology to help assess potential options, as illustrated in **Figure 1 (Appendix pg. 23)**. This can also address broader NROC and RPB interests as it substantively engages stakeholders in the development of a planning product, supports analysis of the regulatory and/or administrative components of different scenario analyses, and provides through the metrics on which it is based a natural basis for the subsequent development of plan performance indicators, as appropriate.

Our proposed approach adds value to the project and the larger planning program with significant in-kind resources to the project, in excess of \$27,000; high-level technical expertise in planning, policy, law, and science support for RPB decision making; and an effective engagement strategy and a transparent approach to assessing options.

Work Plan

Approach

The SeaPlan team approach is designed to achieve the objectives of the RFP as practically and effectively as possible; provide research, tools, and expert support that allow NROC and the RWG to focus on substantive analysis; and to have senior team members and technical experts execute the tasks.

Our approach matches our team's individual capacities and experience with the necessary tasks outlined below. RWU provides project continuity for NROC's initial authorities inventory and expert legal review, ESS provides operational understanding of these authorities based on their role in Cape Wind and federal contract work, CoastalVision provides superior marine spatial data acquisition and science support for marine infrastructure development, and SeaPlan staff provides considerable experience leading major intergovernmental deliberations on marine policy, planning, and management.

SeaPlan will focus initially on developing materials that allow us to efficiently acquire, assess, and present information about potential options. Based in part on the output of Task 1, we will use these materials to prepare, guide, and summarize research meetings conducted under Tasks 2 and 3. Our draft engagement plan for Task 3 recognizes and accommodates differing levels of accessibility and capacity among potential participants, and is designed to ensure that interested and qualified persons and organizations have the opportunity to participate. Final summary reports for Tasks 2 and 3 will present synthesized results of the meetings as the basis for assisting NROC and the RWG in developing potential options. For Tasks 4 and 5, the SeaPlan team will serve as a resource for NROC and the RWG in developing options by providing team analysis, supporting research as may be required, and/or revising options for review, subject to direction from NROC.

Coordinated and efficient project management will be essential to the project's success. SeaPlan's Deerin Babb-Brott will lead the project management for the team which will include, at a minimum, coordinating activities through bi-weekly project team calls. SeaPlan will establish a regular coordination schedule with NROC and provide monthly update reports to NROC, as needed.

Task 1 – Review Existing Research on Regulatory Authorities

1.1. Kick-off Meeting and Revised Work Plan - Upon award, SeaPlan and senior members of our team will meet in person with NROC and members of the RWG as appropriate for a project kick-off meeting. The meeting will address: 1) refinements to the proposed work plan and project schedule 2) review of draft engagement plan for Task 3 (presented below); and 3) discussion of collaboration with other NROC contractors (e.g., Consensus Building Institute (CBI)) on process and logistics related to workshops and meetings;

Deliverables and Assumptions:

- Draft and final work plan, including a final stakeholder outreach plan, developed within 1 week of the kick-off meeting. We assume that the kick-off meeting will occur in Boston and will be attended by all SeaPlan team lead members.

1.2. Review Existing Research. SeaPlan and ESS will review materials developed by RWU to ensure that all relevant authorities are listed and accurately described. SeaPlan will also review relevant legislative reviews developed by agencies and industry consultants and summarize relevant policy mechanisms and initiatives that may affect the consideration of potential options. SeaPlan will develop a framework by which the authorities will be described and annotated to identify key attributes related to the objectives of the RFP, such as key authorities for each of the four specified uses, initial identification of potential options, initial identification of how other uses that may be affected by the four specified uses interact with NEPA review and Corps of Engineers permitting processes, and identification of existing use of data sharing and/or administrative coordination to achieve regulatory efficiencies. Upon acceptance of the framework by NROC, the SeaPlan Team will conduct the research and prepare a draft inventory of regulatory authorities.

Deliverables and assumptions:

- Draft framework electronically transmitted to NROC within 1 week of the kick-off meeting; we assume one week review period by NROC.
- Draft report on regulatory authorities electronically submitted for review/input within 30 days of NROC approval of framework; we assume a one week NROC and RWG review period. The SeaPlan team will be available to discuss comments on the draft, if necessary.
- Final report, reflecting NROC comments, electronically transmitted within 1 week of receiving NROC comments.

Task 2 – Support and Document Discussions with Regulatory and Environmental Review Agency Staff in the Region

2.1 Preparatory materials. The SeaPlan team will develop templates for meeting materials (e.g., read ahead materials, annotated agendas) to assist in effectively and efficiently downloading agency and state authority expertise and perspectives. These preparatory materials will briefly summarize the planning context for the discussions and frame requests for authority- or practice-specific information regarding objectives a., b., and c. under Task 2 in the RFP, with a particular focus on NEPA review and Corps of Engineers permitting. We will also identify any additional state authorities that may need to be considered. We propose to use the materials as an opportunity to identify specific aspects of recent projects that may serve as examples of best practices or practices to be improved to identify potential case studies to be developed under Task 4.

If NROC chooses to explore a methodology to help assess potential options, **Figure 1 (Appendix pg.23)** represents one option. The merits of a given option will be a function of more specific considerations related to “challenges to implement” and “benefit over current practice” (or related terms). Those considerations can be represented by metrics of whatever level of detail the RWG determines appropriate. At NROC’s direction, discussion of potential metrics can be incorporated preparatory meeting materials in the agency meetings, and, potentially, the expert non-governmental meetings.

Based on discussion with NROC and the RWG, SeaPlan will develop summary templates that will support efficient and consistent transcription, summary, and analysis of information provided at individual meetings with federal and state agencies.

Deliverables and assumptions:

- Draft meeting materials electronically transmitted to NROC to obtain input. We have assumed 1 week review time by NROC.
- Final meeting materials electronically transmitted to NROC within 1 week of receiving NROC comments.

2.2 Meetings with federal and state agencies. In consultation with NROC, SeaPlan will assist in convening and the SeaPlan team leaders will attend one joint meeting of all of the agencies which have been or will be consulted. In consultation with NROC, SeaPlan will schedule and attend research meetings with individual federal and state agencies. Deerin Babb-Brott, supported by a recorder, will represent the SeaPlan team at all other meetings. Follow-on meetings will be scheduled, as necessary, subject to assumptions described below. SeaPlan will draft summaries of each meeting consistent with the summary template developed under Task 2.1.

Deliverables and assumptions:

We assume that there will be 16 individual federal and state agency meetings and up to 6 follow-on, in person meetings in the region. We assume that any meeting in New York would be held via teleconference.

2.3 Draft and final agency meeting summaries report. The SeaPlan team will compile summaries of individual meetings with federal and state agencies and prepare a synoptic report that provides context

and synthesizes cross cutting input and feedback obtained from the meetings. This additional step will enhance transparency and ease of access to information for decision-makers, stakeholders, and the public.

Deliverables and assumptions:

- Draft agency meetings summaries report (5-10 pp) electronically transmitted for review by NROC within 1 week of the final meeting. We have assumed one week review time by NROC for this draft deliverable.
- Final Summaries Report will be incorporated in draft workshop report under Task 4.

Task 3 – Support Engagement of Non-governmental Regulatory Professionals

The draft engagement plan is intended to efficiently capture expertise from professional stakeholders in all marine sectors at the national, regional, and state level. We offer the suggested outreach approach in 3.1 below as one option for obtaining non-governmental input.

3.1 Preparatory materials. As in Task 2.1, above, SeaPlan will draft preparatory materials, designed to elicit responses on topics such as a., b., and c., under Task 3 in the RFP and summary templates that will support efficient and consistent transcription, summary, and analysis of information.

Deliverables and assumptions:

For efficiency, Task 3.1 deliverables will be delivered in conjunction with, and on the same schedule as, Tasks 2.1.

3.2 Meet with industry and environmental non-governmental organizations. Engaging at all scales will provide NROC and the RWG the broadest representation of perspectives and recommendations, and demonstrates the RPB's commitment to incorporate stakeholder expertise and interests. Our proposed approach recognizes and accommodates differing levels of accessibility and capacity among potential participants, and is designed to maximize participation, and uses a tiered approach to apply project resources effectively. We will collaborate closely with NROC in finalizing the proposed approach, and have sufficient flexibility, given the proposed level of effort, to modify the approach as may be appropriate.

- Group meetings in the region – We propose two in-person meetings designed to capture the insights of key regional non-governmental participants, including: 1) industry and industry association participants through a workshop convened by the Environmental Business Council of New England (EBCNE); and 2) conservation-focused non-governmental organizations through a workshop convened by the New England Ocean Action Network (NEOAN), who are prepared to do so.
- Group meetings by webinar – We propose two webinars designed to capture the insights of key national industry and industry-association participants, including: 1) the National Ocean Policy Coalition (NOPC); and 2) the World Ocean Council (WOC).
- Meetings with expert representatives of the 4 uses specified by the RFP – We propose meetings with individuals or small groups who represent state-of-the-art knowledge about the siting, leasing, permitting, or environmental review of each specified use.
- Teleconferences with other participants, to be determined in consultation with NROC – We will coordinate with NROC to identify key interest groups who may be challenged to participate in group meetings or otherwise need to be contacted directly.
- Electronic distribution of meeting materials for written comment – If NROC determines that it would be advantageous to provide additional opportunities to capture information, SeaPlan is prepared to support such approach consistent with the meeting materials template. The survey could be directed to specified audiences and/or posted on the NROC or RPB webpage.

SeaPlan will draft summaries of each meeting consistent with the summary template developed under Task 3.1.

Deliverables and assumptions:

We will coordinate with NROC plan and convene these meetings, recognizing that extensive RPB stakeholder engagement is planned, and that we need to minimize stakeholder fatigue, provide project

continuity, and achieve efficiencies. We are prepared to coordinate with CBI, as appropriate, to convene the meetings with EBCNE and NEOAN, and others at NROC's direction. EBCNE, NEOAN, NOPC, and the WOC are prepared to coordinate with SeaPlan and NROC, as appropriate, to host the meetings and webinars.

- 2 large group meetings – We assume that these will be held in Boston or vicinity and will be 2 to 4 hour sessions.
- 2 large group webinars – We assume that these will be 2 hour sessions.
- 4 meetings with expert representatives – We propose 4 in-person meetings and assume they will be 2 hour meetings and will be held centrally in the region (Providence/Boston/Portland).
- Up to 8 teleconferences with other participants, to be determined in consultation with NROC – We assume these will be 1 hour conference calls with small groups of up to 8 participants.

Task 3.3 Draft and final meeting summaries report. As in Task 2.3, above The SeaPlan team will compile summaries of individual meetings with federal and state agencies and prepare a synoptic report that provides context and synthesizes cross cutting input and feedback obtained from the meetings.

Deliverables and assumptions:

- Draft agency meeting summaries report (5-10 pp) electronically transmitted for review by NROC within 1 week of the final meeting. We have assumed one week review time by NROC for this draft deliverable.
- Final summaries report will be incorporated in draft workshop report under Task 4.

Task 4 – Summarize the Findings of Tasks 1-3 and Prepare Materials in Support of a Public Workshop

The SeaPlan Team will prepare a summary of the results of Tasks 1, 2, and 3, particularly focused on the outcome of Tasks 2 and 3, and prepare a report that presents specific options for discussion at a public workshop. SeaPlan will coordinate with NROC in developing the report, which will build off the summaries reports for Tasks 2 and 3, and is prepared to assist in the development of draft options, as appropriate. In addition, the SeaPlan team will: 1) provide input to NROC to develop the workshop agenda, prepare a formal workshop presentation and attend the workshop; 2) assist in the development of case studies to help communicate specific opportunities to enhance agency coordination, the public process, and the use of data in decision making; 3) provide input, presentation materials, and other relevant information and/or materials developed for Tasks 1 – 4 to support workshop documentation; and 4) review and provide comments on a draft workshop report.

Deliverables and assumptions:

- SeaPlan will electronically deliver a draft workshop report on a schedule that allows for a two week review by NROC, and a subsequent minimum 30 day public comment period prior to the workshop. The SeaPlan team is prepared to engage with NROC and the RWG as appropriate to assist in developing options for the report.
- SeaPlan and all lead team members, as identified in below Organization Chart, will participate in a workshop organized by NROC and CBI. We assume an 8-hour workshop that will take place in a central location (e.g., Boston, Providence, Portsmouth or Bristol, RI).
- SeaPlan will provide candidate case study material from Tasks 2 and 3 meeting summaries and case studies currently underway in support of the MA Ocean Management Plan, as appropriate, and participate in the review and revision of draft case studies.
- SeaPlan will review and provide comments on a draft of the workshop summary.

Task 5 – Develop Final Report, Including Options

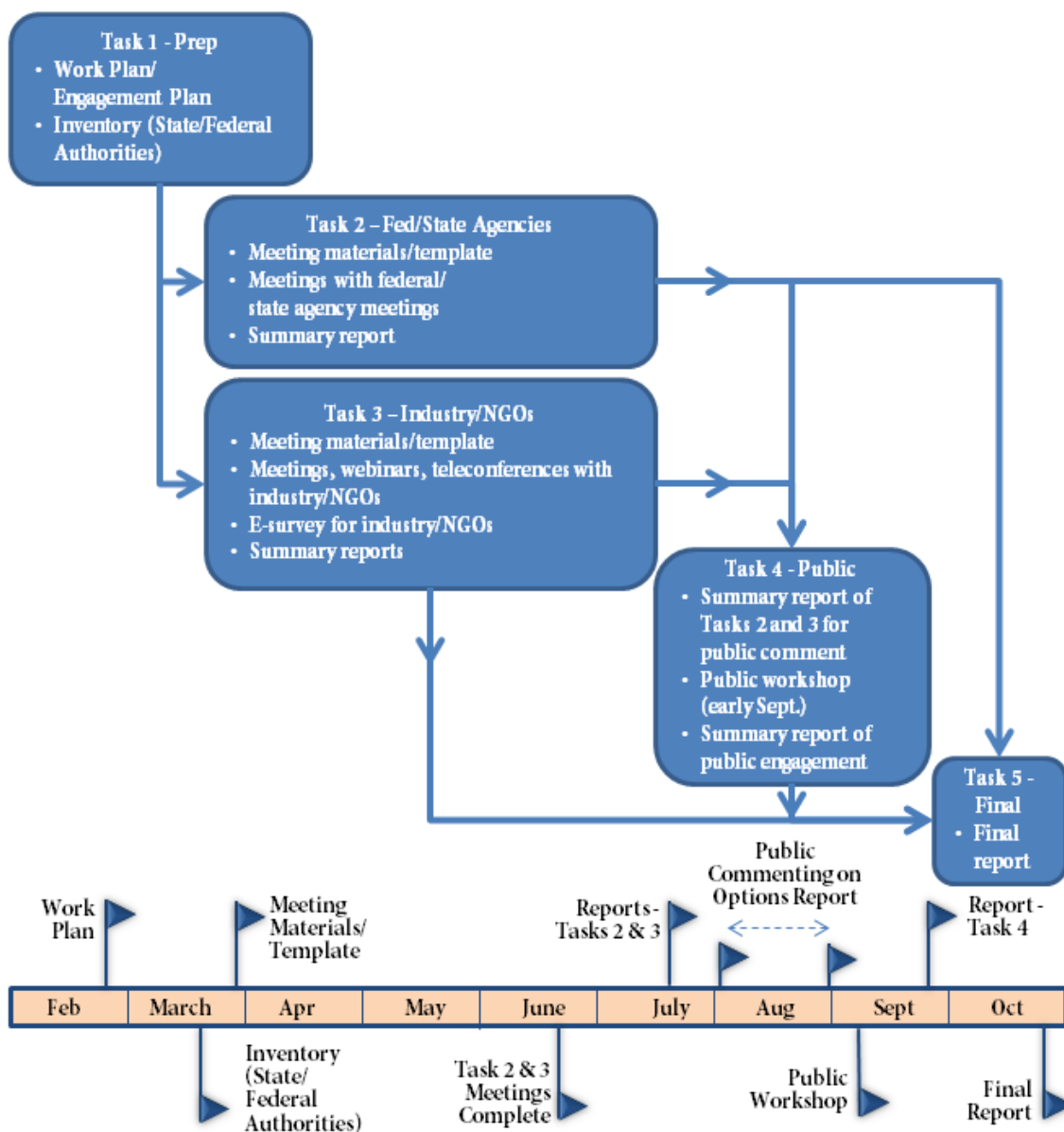
The SeaPlan Team will produce a draft and final report summarizing the project, results of Tasks 1 – 4, and final options for the RPB's consideration. The report will build off the written summary developed in preparation for the workshop, and will include consideration of public comments received prior to, and

provided at, the public workshop. Prior to developing the draft report, and as informed by the results of workshop discussions as captured under Tasks 4.d. and e., above, the SeaPlan Team will coordinate with NROC to assist in the development of final options, as appropriate.

Deliverables and assumptions:

- We assume that public comment on the options report, discussion at the workshop, and the interest in presenting options at the November RPB meeting will drive significant discussion by NROC and the RWG. The SeaPlan team is prepared to engage with NROC and the RWG as appropriate to assist in developing options for the report.
- A draft final report will be electronically transmitted to NROC for review and comment. We have assumed a 2 week review time by NROC for this preliminary deliverable. A final Project report will be electronically transmitted to NROC 2 weeks following receipt of comments on the draft report.

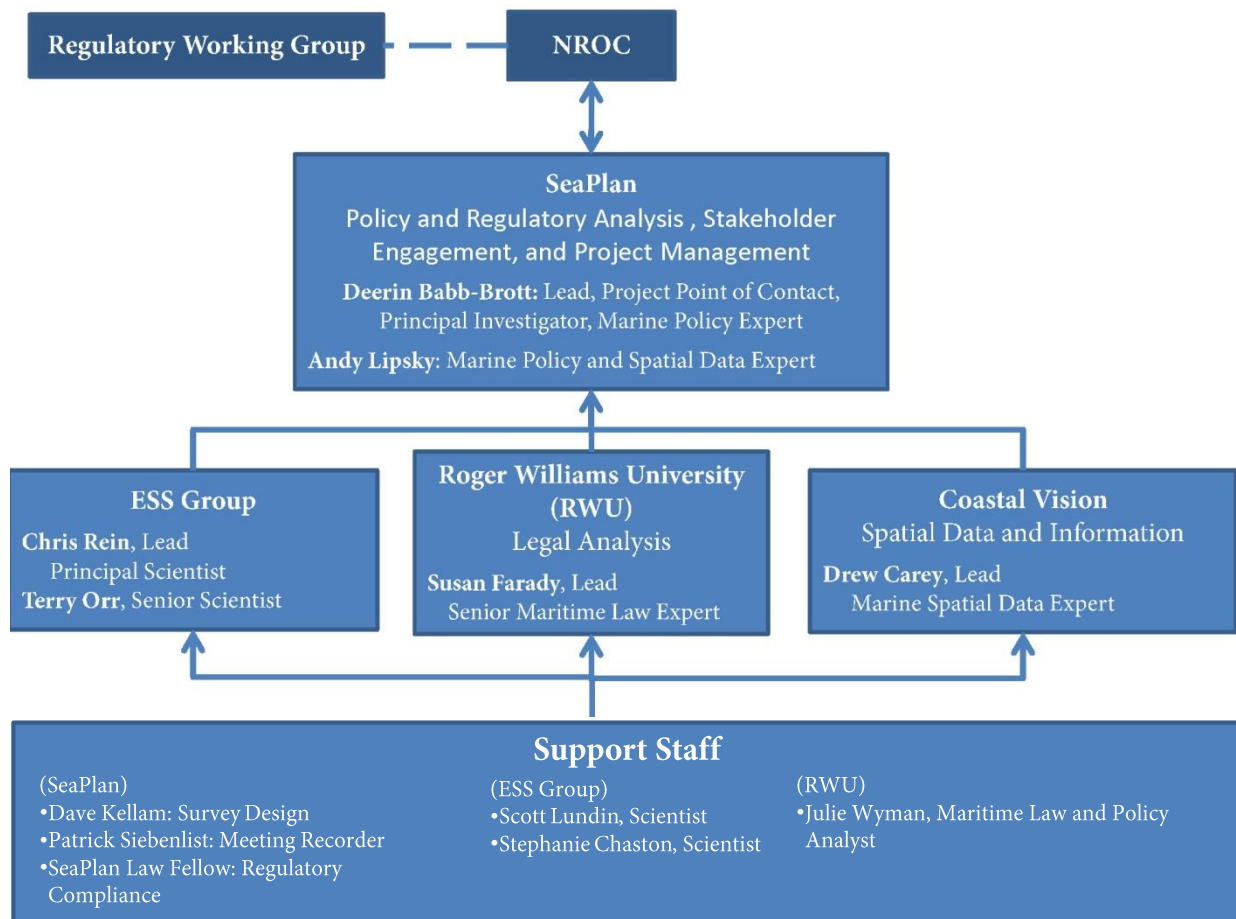
Timeline



Detailed Budget

| | Task 1 | | Task 2 | | Task 3 | | Task 4 | | Task 5 | | Total \$ |
|-------------------------------------|--------|----------|--------|----------|--------|----------|--------|----------|--------|----------|----------|
| | Hrs. | Cost(\$) | Hrs. | Cost(\$) | Hrs. | Cost(\$) | Hrs. | Cost(\$) | Hrs. | Cost(\$) | Cost(\$) |
| Personnel | | | | | | | | | | | |
| Deerin Babb-Brott | 15 | 1,185 | 114 | 9,006 | 84 | 6,636 | 50 | 3,950 | 27 | 2,133 | 22,910 |
| Andy Lipsky | 6 | 414 | 0 | - | 12 | 828 | 17 | 1,173 | 14 | 966 | 3,381 |
| Patrick Siebenlist | 4 | 68 | 162 | 2,754 | 163 | 2,771 | 73 | 1,241 | 43 | 731 | 7,565 |
| Dave Kellam | | - | | - | 24 | 1,008 | | - | 20 | 840 | 1,848 |
| SeaPlan Law | | | | | | | | | | | |
| Fellow | | - | | - | | - | 212 | 2,120 | 60 | 600 | 2,720 |
| Ian Mogavero | 2 | 82 | 2 | 82 | 2 | 82 | 2 | 82 | 2 | 82 | 410 |
| <i>Sub total Personnel</i> | | 1,374 | | 11,605 | | 10,950 | | 8,191 | | 4,977 | 37,097 |
| Fringe (@28%) | | 385 | | 3,249 | | 3,066 | | 2,293 | | 1,394 | 10,387 |
| <i>Total Personnel & Fringe</i> | | 1,759 | | 14,854 | | 14,016 | | 10,484 | | 6,371 | 47,484 |
| Direct Costs | | | | | | | | | | | |
| Travel | | - | | 1,477 | | 1,704 | | 386 | | - | 3,567 |
| Food | | - | | 300 | | 300 | | - | | - | 600 |
| ConfCall/Webinars | | 200 | | 200 | | - | | - | | - | 400 |
| Meeting | | | | | | | | | | | |
| Materials/ Venue | | - | | - | | - | | 575 | | - | 575 |
| EBC Sponsorship | | | | | | | | | | | |
| Fee | | 500 | | - | | 1,000 | | - | | - | 1,500 |
| <i>Sub Total Direct Costs</i> | | 700 | | 1,977 | | 3,004 | | 961 | | - | 6,642 |
| Sub Contractors | | | | | | | | | | | |
| ESS-Chris Rein | 6 | 1,161 | 2 | 387 | 0 | - | 0 | - | 0 | - | 1,548 |
| ESS-Terry Orr | 18 | 3,068 | 18 | 3,068 | 13 | 2,215 | 33 | 5,624 | 4 | 682 | 14,656 |
| ESS-Scott Lundin | 18 | 2,338 | 0 | - | 0 | - | 0 | - | 0 | - | 2,338 |
| ESS-Stephanie | | | | | | | | | | | |
| Chaston | 40 | 3,403 | 0 | - | 0 | - | 0 | - | 0 | - | 3,403 |
| RWU-Susan | | | | | | | | | | | |
| Faraday | 4 | 441 | 2 | 221 | 4 | 441 | 15 | 1,654 | 4 | 441 | 3,198 |
| CV-Drew Carey | 2 | 258 | 11 | 1,418 | 17 | 2,192 | 24 | 3,095 | 8 | 1,032 | 7,995 |
| <i>Subtotal Sub contractors</i> | | 10,668 | | 5,094 | | 4,849 | | 10,373 | | 2,154 | 33,138 |
| Subtotal Project Costs | | 13,607 | | 22,228 | | 22,349 | | 22,298 | | 9,005 | 89,487 |
| Indirect Costs 14% | | 1,905 | | 3,112 | | 3,129 | | 3,122 | | 1,261 | 13,044 |
| Total | | 15,512 | | 25,340 | | 25,478 | | 25,420 | | 10,266 | 102,015 |
| In-kind from SeaPlan | | | | | | | | | | | (26,482) |
| In-kind from RWU | | | | | | | | | | | (575) |
| In-kind from ESS | | | | | | | | | | | (500) |
| | | | | | | | | | | | (27,557) |
| For Rate Chart, see page 25 | | | | | | | | | | | 74,458 |

Project Team Organization Chart



SeaPlan Team

The SeaPlan team is structured to efficiently conduct and integrate required research and support NROC and the RWG in developing, assessing, and presenting potential options for public comment, discussion at a public workshop, and a final project report. Deerin Babb-Brott will be the point of contact for NROC, the SeaPlan team lead for each Task, and will conduct the agency and non-governmental expert meetings. Terry Orr, Drew Carey, Susan Farady, and Deerin Babb-Brott form the senior project team and will contribute to finalizing review of the RWU research on existing authorities, developing meeting materials, analyzing and synthesizing meeting results, and assisting NROC and the RWG in developing options. Chris Rein and Andy Lipsky will assist with strategic direction, and technical review. Scott Lundin will assist in the RWU draft inventory of existing authorities and conduct additional research on the interaction of marine uses and federal and state authorities. Julie Wyman will assist with legal policy analysis for all relevant tasks. Patrick Siebenlist will provide administrative and logistical support and will assist in transcribing meeting results in meeting summary templates. A SeaPlan Legal Fellow will also provide additional policy analysis support. Dave Kellam will assist in developing and implementing a survey based on the meeting templates, if appropriate, and provide report editing, and layout expertise.

Summary Of The Experience, Skill Or Unique Attribute Of Each Team Member

Members of the SeaPlan team have played significant roles in marine planning, NEPA review and preparation, and permitting under the Corps of Engineers in New England waters and other relevant

federal authorities over the past two decades. This experience and collective knowledge provides a strong base to assist NROC and the RWG in achieving the objectives of the RFP. A summary of the experience, skill or unique attribute of each team member is described below:

- **Deerin Babb-Brott:** Mr. Babb-Brott is an ocean policy and management expert with over 20 years of experience. He led the team that developed the MA Ocean Management Plan, and conceived and executed the methodology that analyzed existing authorities and developed options for advancing legislative objectives, including effective decision making, based on the state's version of NEPA.
- **Chris Rein and Terry Orr:** Mr. Rein (specializing in multi-disciplinary environmental permitting for complex energy generation and transmission projects) and Mr. Orr (experienced in developing regulatory strategies for complex multidisciplinary projects) led NEPA, leasing, and permitting activities for the Cape Wind project, including data acquisition and the development of technical reports in support of Environmental Impact Statements developed by the Corps of Engineers and Department of Interior.
- **Dr. Drew Carey:** Dr. Carey has been directly involved in marine planning and management issues in New England for over 30 years, including dredged material management, siting of LNG facilities, offshore wind farms, and habitat mapping. He uses his broad-based marine science knowledge and active listening skills to translate complex information and lead effective decision-making.
- **Susan Farady, J.D.:** Ms. Farady has demonstrated academic as well as practical expertise in the field of environmental and marine-related law and has been an advisor to state and federal regulatory authorities. She has co-authored a text book on ocean and coastal law, practiced law for 5 years, and has been an advisor to state and federal regulatory authorities, such as the New England Fisheries Management Council Enforcement Committee (2002-05). Ms. Farady is currently working with NROC on the inventory of federal authorities project.
- **Andy Lipsky:** Mr. Lipsky has over 20 years of experience from the Federal and non-governmental levels preparing and analyzing coastal and ocean regulatory authorities, including developing spatial data and policy products to streamline regulatory procedures. He also has led the development of policy options for intergovernmental deliberation at the national and regional levels, and serves as a steering committee and working group member for the Northeast Ocean Data Portal.
- **Julia Wyman:** Julia Wyman worked directly with the NE RPB Regulatory Work Group to develop and execute a scope of work for the background document of existing regulatory and environmental review authorities related to the siting of ocean development activities.
- **Scott Lundin:** Mr. Lundin has over 8 years of professional experience conducting siting and feasibility studies throughout the northeast United States as well as the mid-Atlantic region, Caribbean, and Hawaiian Islands.
- **Dave Kellam:** Over his 18 year career, Mr. Kellam has designed and implemented numerous strategic communication plans for state and nonprofit environmental organizations that included advanced program evaluation tools such as online surveys and content analysis of qualitative interview data.
- **Patrick Siebenlist:** Mr. Siebenlist is skilled in transcribing meeting results as exemplified in role leading SeaPlan's case study examining the Comcast/NSTAR Martha's Vineyard Hybrid Cable project.

Successful Projects

SeaPlan and SeaPlan Staff

National Ocean Council Marine Planning Handbook: Deerin Babb-Brott was the principal author of the Handbook, which provides national guidance to Regional Planning Bodies on the process and content of regional marine planning.

National Ocean Policy Implementation Plan: Deerin Babb-Brott led the team that developed the final Implementation Plan based on extensive policy analysis of applicable federal authorities and deliberation with senior federal agency leadership and agency staff from twenty-seven federal agencies.

MA Ocean Management Plan: Please see Appendix.

Deepwater Wind: SeaPlan has addressed user-conflicts and filled data gaps for the Block Island Wind Farm –a pilot scale facility sited through the RI Ocean Special Area Management Plan.

ESS Group

Cape Wind: Please see Appendix.

BOEM Wind Energy Areas: ESS has conducted numerous “desktop” evaluations for development clients using available data from governmental agencies, academia, public interest groups, and privately financed research to support siting, permitting and/or construction of offshore energy projects. This has included work for BOEM Wind Energy Areas on the OCS off of Massachusetts and Rhode Island, and in the mid-Atlantic. ESS developed and applied a quantitative evaluation process to rank various sites according to environmental criteria developed and applied a quantitative evaluation process ranking environmental criteria.

SCS PureGen Carbon Sequestration, NJ OCS: ESS served as the primary environmental permitting consultant providing overall project management for a proposed 750 megawatt (MW) Integrated Gasification Combined Cycle (IGCC) power and manufacturing plant with Carbon Capture and Sequestration (CCS) in Linden, New Jersey. As the lead project consultant for regulatory approvals, ESS coordinated client efforts in third party National Environmental Policy Act (NEPA) compliance reviews and represented the Client at pre-application meetings with state and federal oversight and regulatory agency offices. ESS also provided technical assessments intended for use in a Draft Environmental Impact Statement (DEIS) and other environmental permit applications..

Coastal Vision

DAMOS Program: Dr. Carey has been the Program Manager or Technical Manager of the Disposal Area Monitoring System (DAMOS) for the New England District of the USACE since 1991. The DAMOS program monitors disposal sites throughout New England. In this capacity he has led over 120 studies and surveys resulting in technical reports (<http://www.nae.usace.army.mil/damos/reports.asp>)

Northeast Regional Dredging Team: Since 2005, Dr. Carey has been the coordinator and facilitator of the Northeast Regional Dredging Team, an inter-agency technical working group that supports creative and efficient decision making for all state and federal agencies responsible for regulating dredging and dredged material disposal in New England. He has facilitated two National Dredging Team meetings and helped to lead development of national initiatives to streamline decision making.

Block Island Wind Farm NEPA Support: Dr. Carey has extensive experience with preparation of NEPA documentation and working directly with regulatory agencies in New England. He was the lead for Deepwater Wind in development and approval of work plans for the Block Island Wind Farm NEPA process. In this role he developed a novel approach to benthic and geological characterization of the cable route utilizing Sediment Profile Imaging.

Roger Williams University

Northeast Offshore Resource Development: Management and Regulation: Defined state, federal and tribal mandates by examining enabling legislation, regulations, and mission sets as they specifically relate to the management of certain ocean activities, including considerations related to habitats/species and potential interactions with other human activities.

Appendices:

PROFESSIONAL SUMMARY

Ocean management and planning expert and career specialist in successfully developing planning and management programs related to marine planning, infrastructure development, working waterfronts, and environmental impact review. Over 23-year career have held senior coastal and ocean policy and management positions in state and federal government focusing on collaboration with scientific, regulatory, advocacy and private sectors to achieve results that advance progressive public policy interests. Mr. Babb-Recently served for two years at the White House as Director to the National Ocean Council. Led development of the Massachusetts Ocean Management Plan, and, with the Department of Interior, initial designation of the Massachusetts and the Massachusetts/Rhode Island offshore Wind Energy Development Areas. Managed state environmental review and mitigation negotiations for major development projects in Massachusetts including the Cape Wind renewable energy project, offshore liquefied natural gas terminals, and marine telecommunications infrastructure. Drafted statutes, regulations, plans, and policies regarding ocean management, greenhouse gas emissions, water quality standards, coastal hazards, and working waterfronts that advance environmental and economic development objectives.

CAREER**SeaPlan****Senior Partner, 2014 – present**

Direct the marine planning policy and programs at SeaPlan.

The White House**Director, National Ocean Council, 2012 – 2014**

Represent the Administration and coordinate implementation of the National Ocean Policy through the actions of the 27-agency National Ocean Council. Provide strategic direction for implementation of coastal and marine spatial planning and coordinate with coastal and ocean sectors to advance economic, environmental, social, and cultural policy objectives. Report to the Director of the Office of Science and Technology Policy and the Chair of the Council on Environmental Quality.

University of Massachusetts Boston Collaborative Institute for Oceans, Climate, and Security**Program Director 2011-2012**

Developed and managed technical program for Global Conference on Oceans, Climate, and Security.

Epsilon Associates, Inc.**Director of Regulatory Affairs, 2010 – 2011**

Developed and executed regulatory strategy for commercial, industrial and government clients for full-service environmental consulting firm specializing in energy generation and transmission, coastal and marine infrastructure, and commercial and industrial development.

Massachusetts Executive Office of Energy and Environmental Affairs**Assistant Secretary for Oceans and Coastal Zone Management and Director of the Office of Coastal Zone Management, 2008 – 2010**

Developed and implemented state coastal policy. Designed and managed an innovative and intensive program to complete the Massachusetts Ocean Management Plan through integration of state and federal agencies, NGOs, stakeholders, the public, and technical consultants in development of analytical, scientific and policy materials. Led state team that developed wind energy development areas in offshore federal waters. Represented the Secretary before state, regional and national audiences, and managed the 50 staff, budget, and operations of the office.

Assistant Secretary for Environmental Impact Review 2005-2008

Managed environmental impact assessments of major development projects under the Massachusetts Environmental Policy Act. Coordinated with state and federal agency senior management, negotiated mitigation for major projects, and participated in environmental policy development, including drafting and implementing a nationally recognized greenhouse gas policy. Represented the Secretary in interactions with developers, citizens, agencies, and local, state and federal government, and managed the 10 staff, budget, and operations of the office.

Massachusetts Coastal Zone Management**Assistant Director for Planning and Coastal Development, 2002-2005**

Boston Harbor Regional Coordinator, 2000-2002

Dredging Coordinator, 1992-2000

Permit Advisory Service, 1992-1994

Southern Maine Regional Planning Commission

Coastal Planner, 1990 – 1992

EDUCATION AND RECOGNITION**Bachelor of Arts**

Government and Environmental Studies, A.B.

Phi Beta Kappa

Bowdoin College, Brunswick, ME (1988)

- Vice President's Hammer Award for Government Innovation
- National Oceanic and Atmospheric Administration Award for Excellence in Ocean and Coastal Resource Management
- American University William K. Reilly Award for Environmental Leadership
- Environmental Business Council of New England Paul G. Keogh Environmental Award for Government Service

EXCEPTIONAL SKILLS

- Design and Implementation of Multi-party Stakeholder Engagement Processes
- Policy and regulatory problem solving
- Marine Planning
- Coastal Zone Management

PROFESSIONAL SUMMARY

A seasoned facilitator, marine and watershed scientist and manager of complex conservation and development projects currently serving as a Senior Partner at SeaPlan. Also serves as Science Liaison for the Deepwater Wind's Block Island Wind Farm, directing and executing cooperative fishery studies and providing advice and guidance to support offshore renewable energy regulatory and non-regulatory programs. Over his 23 year career, he has been responsible for federal, state, tribal, and local regulatory compliance for dozens of large scale coastal and marine water resource projects, including Sections 401 and 404 of the Clean Water Act; Coastal Zone Management Act; State Water Quality Certification Programs; Comprehensive Environmental Response, Compensation, and Liability Act; National Environmental Policy Act; Magnuson Stevens Act; other regulatory laws, state water quality regulations, and numerous state wetlands statutes, and local water quality ordinances. Experienced NEPA preparer, including author of the Cumulative Impacts Analysis, for NOAA's Deepwater Horizon Oil Spill Gulf of Mexico Restoration Programmatic Environmental Impact Statement. Led development of technical guidelines and policies regarding aquaculture conservation practices at USDA headquarters; and led national efforts to develop and implement shellfish aquaculture best management practices, including regulatory compliance requirements for dozens of shellfish aquaculture conservation projects in the Northeastern U.S. Facilitated interagency discussions and drafting teams to develop national policies, principles, and national objectives for the Interagency Ocean Policy Task Force deliberations, including fisheries, ecosystem restoration, water quality improvement, ocean planning, and climate adaptation and resiliency strategies. Led coastal, ocean, and aquatic ecosystem policy research, development, review and external outreach associated with the development of the National Ocean Policy. Supported the phased implementation of CMSP in the nine regional planning areas by developing guidance, training materials, and engagement of regional intergovernmental representatives.

CAREER**Senior Partner, SeaPlan (2012-Current)**

Directs science, regulatory and policy programs at SeaPlan. Areas of expertise include complex natural resources management, fisheries, aquatic ecosystem assessment and restoration planning, marine spatial planning, environmental impact assessment and compliance, tribal nation engagement and consultation, and multi-sector stakeholder process design and facilitation. Oversees information and management systems, business development, regional ocean portal development, and program and project manager for fisheries and offshore energy projects.

Senior Scientist, Ecosystem Restoration Program Manager**EA Engineering, Science, and Technology, Inc., Providence, RI (2011-2012)**

Senior technical review and project management for climate adaptation, wetland, and fisheries projects; and federal and state regulatory permitting.

National Water Quality/Ocean Sciences Leader**USDA-NRCS, Washington, D.C. (2010 - 2011)**

Developed the first comprehensive interagency science framework for an integrated approach to field-based monitoring and modeling for the Mississippi River Basin, supporting \$500 million of federal water quality improvement investments. Led USDA NRCS national water quality practice areas, and coastal and ocean science activities; and advised the Office of the Secretary, including development of U.S. Farm Bill position papers. Developed guidance and supported states and territories in the development and execution of strategic conservation initiatives to achieve national, regional, and local water quality objectives

Ocean Policy Advisor, White House National Ocean Council (NOC)**Executive Office of the President, Washington, D.C. (2010 – 2011)**

Led development and implementation of national Strategic Action Plans, including the National Plan for Water Quality and Sustainable Practices on Land, and the National Plan for Regional Ecosystem Protection and Restoration. Working with the White House Office of Management and Budget, led drafting of the *Federal Ocean and Coastal Activities Report to Congress*. Managed external affairs for the NOC, including stakeholder engagement with thousands of coastal, ocean, and Great Lakes stakeholders; NOC Liaison for recreational and commercial fishing sectors, and executed and coordinated outreach activities with White House Legislative Affairs.

Policy and Science Advisor, the White House Council on Environmental Quality (CEQ)**Executive Office of the President, Washington, D.C. (2009- 2010)**

Provided expert advice to the President's Principal Environmental Advisor and was responsible for developing

and implementing policies and initiatives related to marine and coastal natural resources. Responsible for managing President Obama's Interagency Ocean Policy Task Force, comprised of 24 Federal agencies and White House Offices, to establish the United States' first National Ocean Policy. Co-chaired with the Office of Science Technology and Policy Working Committee Coastal and Marine Spatial Planning Science and Data Subgroup to establish framework for a national information management system for all coastal, ocean, and Great Lakes data and information.

Acting Emergency Watershed Protection Flood Plain Easements Program Manager, USDA-NRCS, Providence, RI (2009)

Led agency effort to develop and roll out the American Recovery and Reinvestment Act Flood Plain Easement Program in Rhode Island. Developed programmatic training materials; conducted training for project sponsors, developed preliminary restoration plans, coordinated with stakeholders, State agencies, and NRCS State Office and field staff; facilitated external review teams and program roll-out; managed engineering staff in evaluation of potential sites for program eligibility; worked with state, federal, academic, and non-governmental organization partners to recruit and develop projects; and developed scopes of work and evaluations of over \$22 million in program applications.

State Fish and Wildlife Biologist, USDA-NRCS, Providence, RI (2006 – 2010)

Led implementation of watershed, terrestrial and aquatic restoration projects, including leading the planning, engineering, ecological monitoring, and federal, state, and local regulatory requirements. Managed assessment and evaluation, planning, monitoring, design, installation, and adaptive management projects.

Biologist/Program Manager/Northeast Regional Interdisciplinary Resource Team Biologist USDA-NRCS, Providence, RI (2002- 2006)

Developed and implemented a Hydro-Geomorphic Model for the Cape Cod Water Resources Project in Massachusetts that included leading interagency science teams. Completed a fluvial geomorphic and habitat assessment for the East Branch of the North River, in Massachusetts. Performed agency spokesperson duties, including media coordination to highlight aquatic conservation activities. Served as aquatic restoration leader and lead conservation planner for over 80 Farm Bill program contracts.

Restoration Ecologist/Program Director, Save the Bay, Inc , Providence, RI (1995 – 2002)

Led Save the Bay's nationally recognized *Narragansett Bay Habitat Restoration Program*. Planned, designed, permitted, and implemented coastal, conservation buffers, and fishery restoration projects throughout the Narragansett Bay Watershed.

EDUCATION

Master of Science

Natural Resources and Environmental Science;
University of Rhode Island, Kingston, RI (2003)

Visiting Researcher

Physical Hydrology, Brown University, RI (1999)

Bachelor of Arts

Environmental Studies and Political Science,
University of Vermont, Burlington, VT (1992)

Graduate- USDA National Leadership
Development Program, 2010

CERTIFICATIONS, APPOINTMENTS & AWARDS

- SSBI Top Secret Completed non-adjudicated, 2010
- USDA, Certified Conservation Planning-Wildlife Element Specialist; 2003
- USDA-NRCS Certificate of Outstanding Performance for leading Watershed Restoration Projects for The American Recovery and Reinvestment Act. 2009.
- Technical Advisory Board Member, Rhode Island Coastal Resources Management Council; 2002-2009

PUBLICATION AND PRESENTATIONS (Partial list from 2011 to 2008)

Halpern, B.S. et al. 2011. *Near-term priorities for the science, policy, and practice of Coastal and Marine Spatial Planning*. Marine Policy, doi:10.1016/j.marpol.2011.05.004 (Contributing Advisor).

Lipsky, A. 2009. *Ridgetop to Reef – Tapping the Potential of the U.S. Farmbill*. National Conference on Ecosystem Restoration, Los Angeles, California. 20-24 July.

Lipsky, A. 2008. *Tapping into our Nation's Largest Conservation Investment: The 2008 Farm Bill. Biodiversity in a Rapidly Changing World*: 9th National Conference on Science, Policy, and the Environment, Washington D.C. 8-10 December.

Markey, K., M. Chiarri, D. Leavitt, A. Lipsky, and E. Scherer. 2008. *Implementation of a USDA/NRCS EQIP Program for Shellfish Aquaculture in Rhode Island*. 28th Milford Aquaculture Seminar. NOAA Fisheries Northeast Fisheries Science Center; Milford, Connecticut. 25-27 February.

Smith, D., J. Maestas, and A. Lipsky. 2008. *Focused Bird Conservation Delivery through Farm Bill Programs: Partnerships and Programmatic Approaches*. 4th Int'l Partners in Flight Conference, TX.



CHRISTOPHER G. REIN Senior Vice President

Experience

ESS Group, Inc.: 1995 to present

Years of Prior Related Experience: 14

Education

BS, Resources Management, State University of New York College of Environmental Science and Forestry, 1978

Post-Graduate Studies in Mechanical Engineering

Appointments

Member, Rhode Island Marine Fisheries Council

Qualifications

Christopher Rein is a senior vice president specializing in multi-disciplinary environmental permitting for complex energy generation and transmission projects. He is expert in the comprehensive evaluation of regulations and impacts related to the siting of energy-related facilities. Mr. Rein's project work has included offshore wind, solar, fossil fuel generation, submarine cables, and underground natural gas storage. He has also been active in planning, regulatory strategy development, and environmental feasibility assessments for innovative energy projects involving biomass and carbon sequestration. These projects are often "first of their kind" proposals permitted under new and/or developing environmental regulations, policies, and agency guidance.

Representative Project Experience

Cape Wind Associates LLC – Cape Wind Offshore Renewable Energy Generation and Submarine Cable Project, Horseshoe Shoal, Nantucket Sound. The Cape Wind Energy Project is the first offshore wind energy generation to receive full federal, state and local approval. In October 2010, the Cape Wind project executed the first ever federal Outer Continental Shelf (OCS) renewable energy lease with the Bureau of Ocean Energy Management (BOEM). Mr. Rein is Principal-in-Charge for the comprehensive National Environmental Policy Act review and all environmental analyses and permitting for this proposed renewable energy generation project, which involves up to 130 offshore wind turbines with a potential to generate 454 MW of electricity. The proposed wind farm will be sited in federal waters on Horseshoe Shoal in Nantucket Sound and includes a submarine and overland electric interconnect with the regional power grid through an AC submarine cable to the southern shore of Cape

Cod. Mr. Rein was responsible for overseeing the preparation of the materials for use in the federal Draft Environmental Impact Statement (DEIS) with the US Army Corps of Engineers as the lead agency and the Final EIS (FEIS) with the Minerals Management Service (MMS), now the Bureau of Ocean Energy Management (BOEM), as the lead agency due to a change in federal regulatory authority. Mr. Rein is also overseeing the preparation of the corresponding environmental documentation and permit applications at the federal (U.S. Environmental Protection Agency Outer Continental Shelf Air Permit), state (Massachusetts Environmental Policy Act, Chapter 91, Coastal Zone Management) and local (Cape Cod Commission) levels. Mr. Rein appeared before the Massachusetts Energy Facility Siting Board (EFSB) to present expert testimony for the in-state electric interconnection facilities.

Bureau of Ocean Energy Management – 2nd Atlantic Wind Energy Workshop. Mr. Rein was the primary point of contact with BOEM for this project. The primary purpose of the workshop was to learn from Europe's experiences with pre- and post-construction site assessment of avian, benthic, and cultural/archaeological resources, in order to further development of BOEM guidance for siting and monitoring of offshore wind development in the U.S. ESS provided workshop planning and coordination, website development, reporting, and technical session facilitation. ESS also identified key European specialists that were the primary technical experts for the workshop. Mr. Rein was also part of the Avian technical session, assisting in the facilitation of discussion amongst invited experts and taking notes for the workshop proceedings.

Apex Wind Energy Inc. – Critical Issues Assessment and OCS Lease Call, Offshore New Jersey. Mr. Rein served as Principal-in-Charge for the preparation of an environmental constraints analysis for a

number of OCS lease blocks off New Jersey. He guided the project team in the development of a quantitative evaluation process which ranked each lease block according to environmental criteria that could impact project permitting, construction and/or operation. Mr. Rein was also the primary client liaison the project team worked with Apex to develop and file an Indication of Interest to BOEM's Call for Information and Nominations for Commercial Leasing [Docket No. BOEM-2011-0005].

Dominion Resources Services Inc. – Environmental Assessment and Strategic Analysis / Basis for Estimated Costs, Offshore Virginia. Mr. Rein served as Project Manager in the development of an Environmental Assessment to assist the client in planning of a utility scale offshore wind energy project on the OCS of Virginia. Mr. Rein oversaw the project teams' evaluation of existing environmental conditions within a defined area of OCS lease blocks, including physical, biological and socio-economic resources. He then directed the development and application of a screening methodology to rank lease blocks as to their suitability for offshore wind energy development. Mr. Rein was the client's point of contact in developing a strategic permitting "roadmap", schedule, and estimated budget to support project planning.

SCS Energy – PurGen One, Linden, NJ. Mr. Rein was the Principal-in-Charge for this 750 MW Integrated Gasification Combined-Cycle electric generating facility, which proposed sub-seafloor sequestration of carbon on the OCS off New Jersey. Mr. Rein guided the project team's evaluation of applicable federal, state, and local regulatory requirements and worked with the client to propose a strategy for efficiently addressing the numerous multidisciplinary environmental reviews and permitting anticipated for project approval. He coordinated client efforts related to NEPA compliance reviews and participated in outreach to the agencies in the planning stages of the project. Mr. Rein also directed comprehensive environmental analyses conducted to support environmental permit applications for air quality, wastewater, land alteration and use, and coastal zone consistency.

US Wind, Inc. – BOEM Leasing Process Support, Rhode Island and Massachusetts Area of Mutual Interest. Mr. Rein was Project Manager for the preparation of a response to the BOEM leasing process. He directed technical staff in an environmental assessment of the Area of Mutual Interest to provide a recommendation to the client on the most favorable lease blocks to satisfy their requirements for an offshore wind facility.

Energy Management Inc. – BOEM Leasing Process Support, Offshore MD. Mr. Rein was Project Manager for an evaluation of the entire area offered by BOEM for possible leasing. The evaluation included a desktop resource assessment and ranking of all available lease blocks in order to develop a recommendation for an offshore renewable energy Area of Interest.



TERRY L. ORR

Senior Project Manager

Experience

ESS Group, Inc.: 2000 to present

Years of Prior Related Experience: 22

Education

BS, Environmental Resource Management, SUNY College of Environmental Science and Forestry, Syracuse, New York

BS, Resource Management, Syracuse University, New York

Qualifications

Mr. Orr is an environmental permitting specialist experienced in developing regulatory strategies for complex multidisciplinary projects. He has coordinated client participation in regulatory agency and stakeholder consultation sessions and reviews for several offshore energy projects. Mr. Orr has also conducted numerous siting/alternatives analyses, managed technical research, and prepared impacts assessments for federal agency review under NEPA and other federal programs. In addition to his regulatory permitting and technical work, Mr. Orr has over 30 years of experience in project management, budget development, and operations.

Representative Project Experience

Cape Wind Associates, LLC – Cape Wind Renewable Energy Project, Nantucket Sound, Massachusetts. Over the past 12 years, Mr. Orr has served as Project Manager for this proposed 130-turbine renewable energy generation project which is sited in federal waters on Horseshoe Shoal and will interconnect to the regional power grid on Cape Cod via an AC

submarine cable, Mr. Orr conducted the siting analysis for the offshore wind farm, identifying and evaluating potential alternative sites throughout New England and ultimately within Nantucket Sound based on criteria including navigational impact, visual impact, environmental impacts, marine geology and installation/construction limitations. He has met with Federal Aviation Administration and US Coast Guard officials to discuss navigation and lighting issues. Mr. Orr contributed to the preparation of a Baseline Environmental Impact and Feasibility Study. He conducted landfall alternatives identification, investigation and evaluation along the southern shore of Cape Cod, and also conducted transmission interconnection site alternatives identification, investigation and evaluation as well as linear upland cable routing analysis for various landfall interconnection alternatives.

Working with a large, multidisciplinary technical team, Mr. Orr was responsible for coordination of data acquisition and the development/review of technical reports in support of National Environmental Policy Act (NEPA) Environmental Impact Statements (EIS), which were developed for the project first by the US Army Corps of Engineers, then due to a change in federal regulatory authority by the Minerals Management Service (MMS), now the Bureau of Ocean Energy Management (BOEM). Where the federal agencies identified data gaps or requested additional information from Cape Wind Associates LLC., ESS responded as necessary for completion of the EIS. Mr. Orr also served as the agency point of contact for the associated local, regional, state and federal regulatory reviews and permit applications.

Under Mr. Orr's management, the project team successfully permitted and obtained the first Outer Continental Shelf (OCS) Commercial Lease for an offshore wind energy project under the BOEM program. He also guided preparation of the first Construction and Operation Plan (COP) approved for a wind facility on the OCS. Mr. Orr continues to support project pre-construction surveys and monitoring.

Bureau of Ocean Energy Management — 2nd Atlantic Wind Workshop, Herndon, VA. Titled *Offshore Wind Energy Development Site Assessment and Characterization: Evaluation of the Current Status and European Experience*, this workshop reviewed the efficacy of data collected and reviewed relative to impacts actually observed in project development and operation. Mr. Orr assisted the Project Manager with technical review of a literature survey conducted in advance of the workshop, helped facilitate the meeting, and served as a notetaker for the Cultural Resources technical break-out session.

Apex Wind Energy Inc. – Critical Issues Assessment and OCS Lease Call, Offshore New Jersey. Mr. Orr served as Project Manager for the preparation of an environmental constraints analysis for a number of OCS lease blocks off New Jersey. He developed and applied a quantitative evaluation process ranking environmental criteria for each lease block. Mr. Orr also assisted Apex with the development and filing of an Indication of Interest to BOEM's Call for Information and Nominations for Commercial Leasing [Docket No. BOEM-2011-0005].

Dominion Resources Services Inc. – Environmental Assessment and Strategic Analysis / Basis for Estimated Costs, Offshore Virginia. Mr. Orr served as Assistant Project Manager in the development of an Environmental Assessment to assist the client in planning of a utility scale offshore wind energy project on the OCS of Virginia. Mr. Orr directed the evaluation of existing environmental conditions within a defined area of OCS lease blocks, including physical, biological and socio-economic resources. He then developed and applied a screening methodology to rank lease blocks as to their suitability for offshore wind energy development. Mr. Orr also assisted with the development of a strategic permitting “roadmap”, schedule, and estimated budget to support project planning.

SCS Energy – PurGen One, Linden, NJ. Mr. Orr provided technical assistance concerning facility siting and permitting requirements for this 750 MW energy facility that involves offshore carbon sequestration on the OCS.

Northeast Regional Ocean Council - Energy White Paper – Mr. Orr served as Assistant Project Manager and Reviewer for the white paper, which provided an overview of the energy sector in the coastal waters from Maine to Connecticut. It described key issues and trends relevant to offshore energy, including existing conditions for and potential issues associated with generation, transmission, natural gas, LNG, and oil and gas development.

New England Independent Transmission Co. – Greenline Cable Project, Wiscasset Maine, to Boston Massachusetts Mr. Orr served as the Assistant Project Manager for the preliminary routing analysis for this proposed 240-mile submarine transmission cable. He conducted on-site field investigations and participated in agency and stakeholder outreach meetings with the client.

Town of Hull - Hull Wind Offshore Expansion, Hull, Massachusetts. Mr. Orr assisted in developing the regulatory analysis and permitting strategy for proposed Harding Ledge four-turbine offshore wind project. This project, the first community-based offshore project in New England, is being used as a model for the U.S. Department of Energy National Offshore Wind Energy Collaborative.

Bureau of Ocean Energy Management – Evaluation of Lighting Schemes for Offshore Wind Facilities and Impacts to Local Environments. Mr. Orr served as Project Manager and lead author of a BOEM funded study to review current regulations (domestic and international) and lighting schemes in use and to evaluate how proposed lighting schemes for offshore wind facilities may impact local environments and offshore waters. This involved a literature review, synthesis, evaluation and suggested best practices for minimizing lighting impacts from offshore wind facilities.

Presentations

“Permitting Offshore Wind Power. the Challenges of a Changing Regulatory Roadmap”; Estuarine Research Federation National Conference – ERF 2007; Providence, Rhode Island November 7, 2007

“Offshore Wind and Birds: Avian Data Collection for the Cape Wind Energy Project”; Estuarine Research Federation National Conference – ERF 2007; Providence Rhode Island November 7, 2007

“Setting Priorities for Environmental Research for Offshore Wind Energy”; Environmental Monitoring, Evaluation, and Protection in New York: Linking Science and Policy; New York State Research and Development Authority (NYSERDA) 2011 EMP Conference; Albany New York November 15, 2011

DREW A. CAREY

CoastalVision, LLC
215 Eustis Avenue, Newport, RI 02840
(401) 849-9236
drew@coastalvisionllc.com

Education:

Doctor of Philosophy,
Geology and Marine Ecology,
University of St. Andrews, 1983

Bachelor of Science,

Geology and Biological Oceanography,
The Evergreen State College, 1976

Dr. Carey is a marine environmental scientist with over thirty year's experience in benthic ecology, sedimentology, environmental mapping and monitoring, and marine policy. He is a recognized expert on assessment of environmental impacts on marine ecosystems and a highly experienced facilitator. In 1999, Dr. Carey formed CoastalVision, LLC to provide marine environmental technical support and facilitation to government agencies, commercial firms and public interest groups. Prior to this, Dr. Carey was a Senior Scientist at SAIC from 1991-1999. His project experience includes habitat quality surveys, decision making support, spatial data analysis and public policy work in Long Island Sound, Narragansett Bay, Rhode Island Sound, Buzzards Bay, Cape Cod Bay, Massachusetts Bay and the Gulf of Maine. Prior to SAIC, Dr. Carey taught at Wesleyan University where he conducted scientific research on marine ecology, geology and developed curricula in Ocean Policy, Law of the Sea, and Ocean Resources.

Representative Project Experience

Dr. Carey has been the Program Manager or Technical Manager of the Disposal Area Monitoring System (DAMOS) for the New England District of the USACE since 1991. The DAMOS program monitors disposal sites throughout New England. In this capacity he has led over 120 studies and surveys resulting in technical reports (<http://www.nae.usace.army.mil/damos/reports.asp>)

Since 2005, Dr. Carey has been the coordinator and facilitator of the Northeast Regional Dredging Team, an inter-agency technical working group that supports creative and efficient decision making for all state and federal agencies responsible for regulating dredging and dredged material disposal in New England. He has facilitated two National Dredging Team meetings and helped to lead development of national initiatives to streamline decision making.

Dr. Carey led a team with SeaPlan that supported the Habitat Working Group of NROC to evaluate the feasibility of coordinating habitat mapping initiatives in New England. CoastalVision developed a framework, an inventory of initiatives and successfully integrated the results into a creative visual synthesis to inform managers and scientists of the common ground between initiatives.

Dr. Carey is the lead technical support for the revision of the Long Island Sound Studies Comprehensive Conservation and Management Plan (CCMP). The process has involved weekly virtual meetings of a technical team, public outreach, inter-agency review and a complete revision of the CCMP to meet 21st C challenges including climate change, environmental justice, adaptive management, and resiliency planning. This project lead from the success of SoundVision a stakeholder-driven planning process (see below).

Dr. Carey has extensive experience with preparation of NEPA documentation and working directly with regulatory agencies in New England. He was the lead for Deepwater Wind in development and approval of work plans for the Block Island Wind Farm NEPA process. In this role he developed a novel approach to benthic and geological characterization of the cable route utilizing Sediment Profile Imaging (SPI) to conduct reconnaissance of the proposed cable route. His meetings with RIDEM, CRMC, NMFS and the ACOE lead to acceptance of the method and substantial reduction in time and cost to survey cable routes. He has subsequently worked with BOEM to gain acceptance of the approach for site characterization studies.

Dr. Carey was the technical lead and public outreach coordinator for the Long Island Sound Dredged Material Site Selection EIS, the Dredged Material Management Plan and the Programmatic EIS. He led the design of the data collection for all three projects, lead public workshops and developed new methods for extracting relevant spatial data from 20 years of inshore fisheries data.

Dr. Carey worked with Connecticut Fund for the Environment and Save the Sound to review fifteen years of program activities and budget allocations of the Long Island Sound Study (LISS) and develop a series of workshops to lead the LISS Citizens Advisory Committee in the development of a SoundVision Five Year Strategic Plan. The result was a citizen's agenda for management of Long Island Sound that includes a set of integrated goals with desired results, steps to achieve those results, as well as an outreach strategy that can be implemented by all participating stakeholder groups.

<http://www.lisoundvision.org/>

Dr. Carey supported ExaData and the California Ocean Science Trust Marine Protected Areas Monitoring Enterprise to develop a User Needs Assessment for a monitoring system information management system. He developed survey instruments and interviewed agency representatives and non-governmental organizations regarding their potential use of spatial data.

Dr. Carey supported NOAA Fisheries to develop a manual of procedures employed by Northeast Regional staff to review proposed dredging and dredged material disposal projects. The manual is intended to help streamline the process of review by providing internal guidance and external awareness of the review process and best management practices employed to minimize impacts on protected fisheries resources.

Dr. Carey led an effort to conduct a habitat classification feasibility study for the Massachusetts Office of Coastal Zone Management. The team performed GIS-based analysis of several large benthic datasets, helped to develop habitat digitizer tools, performed benthic habitat classifications under each of four different classification schemes, and authored a project report that made recommendations on the adoption of a framework for Massachusetts that will be useful to resource managers, stakeholders and scientists.

Dr. Carey was responsible for all aquatic disposal site determinations for the Massachusetts Coastal Zone Management Dredged Material Management Plan. Dr. Carey supported the designation of the Buzzard's Bay Disposal Site Environmental Impact Report, Data Management and Aquatic Disposal Alternatives for Salem, Gloucester, New Bedford and Fall River Designated Port Authorities. This involves 404(b)(1) guidance for disposal site selection and analysis of all available environmental information including detailed analysis of potential fisheries impacts. Dr. Carey designed and led public workshops and team screening meetings on aquatic site selection.

SELECTED PUBLICATIONS AND REPORTS

- Murray, P. M., Saffert, H., Seidel, C., Carey, D. 1998. Dredged Material Management Plan Preliminary Aquatic and Near-Shore Alternative Disposal Site Analysis. SAIC Rep 447. Report submitted to the Massachusetts Coastal Zone Management Program.
- Carey, D.A., Desbonnet, A., Colt, A.B., Costa-Pierce, B.A. (eds.) 2005. State of Science on Nutrients in Narragansett Bay: Findings and Recommendations from the Rhode Island Sea Grant 2004 Science Symposium.
- Tenore, K.R., Zajac, R.N., Terwin, J., Andrade, F., Blanton, J., Boynton, W., Carey, D., Diaz, R., Holland, A.F., Lopez-Jamar, E., Montagna, P., Nichols, F., Rosenberg, R., Queiroga, H., Sprung, M., Whitlatch, R. 2006. Characterizing the role benthos plays in large coastal seas and estuaries: A modular approach. *Journal of Experimental Marine Biology and Ecology*, v. 330: 392-402.
- Valente, R. M., D. A. Carey, M. E. Esten, C. R. Woods, and G. A. Berman. 2007. Habitat Classification Feasibility Study for Coastal and Marine Environments in Massachusetts. Submitted by CoastalVision to the Executive Office of Environmental Affairs, Massachusetts Office of Coastal Zone Management.
- Myre, P.L., A.R. Bailey, D.A. Carey, T.C. Hoffman, and A. Agrawal. 2010. MPA Monitoring Information Management System User Needs Assessment. Final Report, April 2010. MPA Monitoring Enterprise, California Ocean Science Trust, Oakland, CA. (<http://monitoringenterprise.org/documents.php>)
- CoastalVision and Germano & Associates. 2010. Sediment Profile & Plan View Imaging Report: Evaluation of Sediment and Benthos Characteristics along Potential Cable Routes and Turbine Locations for the Proposed Block Island Wind Farm. Report prepared for Deepwater Wind, Providence, RI.
- Carey, D.A., Wright, C., Esten, M.E. 2010. Geological and Geophysical Desktop Study for Rhode Island Sound Wind Farm. Report prepared for Deepwater Wind, Providence, RI.
- Germano, J.D., D.C. Rhoads, R.M. Valente, D. Carey, and M. Solan. 2011. The use of Sediment Profile Imaging (SPI) for environmental impact assessments and monitoring studies: Lessons learned from the past four decades. *Oceanography and Marine Biology: An Annual Review* 49: 247-310.
- Carey, D.A. 2013. Benthic Disturbance. In: *Biology and Ecology of Long Island Sound Chapter 6 of "Long Island Sound: Prospects for the Urban Sea"*, Springer Series on Environmental Management, Latimer, J., M. A. Tedesco, R. L. Swanson, C. Yarish, P. E. Stacey, and C. Garza eds. Springer Science, 918 p.
- Shumchenia, E., Guarinello, M., Carey, D.A., Lipsky, A., Greene, J., Mayer, L., Nixon, M., Weber, J. In review. Inventory and comparative evaluation of seabed mapping, classification and modeling activities in the Northwest Atlantic, USA to support regional ocean planning. Submitted to *Journal of Sea Research*.

Susan E. Farady

Marine Affairs Institute at RWU School of Law, (401)-254-4613 sfarady@rwu.edu

QUALIFICATIONS

Marine Resource and Environmental Policy Expertise

- Co-authored ocean and coastal law textbook; designed and taught marine policy classes for law and undergraduate students
- Researched and co-authored report mapping and analyzing existing marine protected areas in the U.S. Gulf of Maine
- Advised marine and environmental experts as member of Stellwagen Bank National Marine Sanctuary Advisory Council, Maine Department of Marine Resources Advisory Council, Vermont Law School, Sea Education Association, and The Coastal Society
- Participated in regional and national coalitions regarding marine spatial planning, ocean policy reform, marine protected areas and clean marina practices
- Developed and implemented corporate environmental compliance, audit and training materials
- Surveyed marine resource management issues and edited Gulf of Maine Regional Monitoring Plan

Management and Communication Experience

- Managed budgets, personnel, administrative and planning operations in non-profit and academic settings
- Presented testimony on ocean management bills and issues to state legislatures and government managers
- Chaired marine stakeholder working group and Board of Trustees nomination committee
- Published articles in Ocean and Coastal Law Journal and other media on marine resource and National Marine Sanctuary issues
- Presented marine policy lectures to professional conferences, journalists, students and community groups
- Developed marketing and business plan presentations for computerized record management company

EXPERIENCE

Marine Affairs Institute/RI Sea Grant Legal Program, RWU School of Law, Bristol, Rhode Island: *Director, adjunct faculty;* 2008-present

The Ocean Conservancy, Portland, Maine: *New England regional director;* 2007-2008; *program manager;* 1999-2007

Adjunct faculty: *University of Maine School of Law, marine policy and law,* 2005-2008; *Bates College Mellon Fellow,* 2003-04

Kline Law Offices, Portland, Maine: *Associate;* 1998-1999; civil employment law practice

MacImage of Maine, LLC, Portland, Maine: *General counsel/operations manager;* 1997-98; database management company

Griffin & Levine, P.C., White River Junction, Vermont: *Associate,* 1995-97; *law clerk,* 1994; public defender office

NYNEX Corporation, New York City, New York: *Project manager,* 1995; *consultant,* 1993; environmental compliance and policy

Hale and Dorr, Boston, Massachusetts, and Meditrust, Inc., Newton, Massachusetts: *Contract counsel,* 1994-95; civil litigation

EDUCATION AND PROFESSIONAL LICENSES

Admitted to practice law: Maine, Massachusetts and Vermont

Vermont Law School, South Royalton, Vermont: J.D. 1994

1994 Alumni Association Award, Outstanding Contribution to School and Community

1994 Finalist, Best Oralist; Pace University National Environmental Moot Court Competition

1993-94 Academic Honors; Moot Court and Environmental Moot Court Advisory Boards

University of Colorado, Boulder, Colorado: B.A. Biology, 1985; emphasis on environmental biology and education

SEA Semester/Boston University, Woods Hole, Massachusetts, 1985; oceanography and maritime studies ashore and at sea

ORGANIZATIONS

SEA Semester: *Corporation member, Board of Trustees member, Alumni Council member,* 1997-present

Vermont Law School, Environmental Law Center Advisory Committee: *Member,* 1996-present

Maine Bar Association, Young Lawyer's Section: *Board of Directors,* 1998-1999; *Chair,* 2000

Metcalf Institute for Marine and Environmental Reporting: *Board of Directors,* 2010-present

The Coastal Society: *Board of Directors,* 2011-present

OTHER EXPERIENCE

U.S. Coast Guard license: Able Seaman with Sail Endorsement, 1990

Research and policy assistant: Gulf of Maine Council; University of New Hampshire; NOAA; 1989-92

Professional crew: oceanography, education, delivery, and charter work aboard Tall Ships and yachts, 1985-89

Related Experience

Massachusetts Ocean Management Plan

Deerin Babb-Brott developed and executed, with John Weber, the management decision making approach for the 2009 Massachusetts Ocean Management Plan (“the MA Plan”). SeaPlan (then the MA Ocean Partnership) assisted with MA Plan development by implementing an extensive stakeholder outreach program and supporting management options assessment and data integration efforts. Our team will leverage experience from this highly relevant work to assist NROC and the RPB achieve effective decision making in the regional ocean planning context.

MA Plan Relevance: At its core, the MA Plan is based on using existing authorities to achieve effective ocean management decision making, specifically through the state NEPA program - MA Environmental Policy Act (MEPA) - and other relevant state regulatory programs. The Plan identifies areas of significant environmental and existing human use value, discourages uses that conflict with those important natural resources and marine uses, and employs a framework combining spatial data and agency coordination to inform agency, stakeholder, and public input in project review and permitting decisions. Summary excerpts from the Draft Ocean Management Plan below describe how this was accomplished.

The planning team reviewed existing authorities and other management efforts to identify potential frameworks for management options. Options were then developed based on: a) the amount of data and information either immediately available or able to be acquired within the schedule for the draft plan; b) principles and practices of marine spatial planning and ecosystem-based management; c) existing law and policy; and d) the degree of change in current management practices necessary to address current challenges, justifiable by available information, and reasonable as a first response to the MA Ocean Act’s comprehensive expression of the public trust doctrine.

Second, based on a comparative analysis using human use and resource characterization maps, and in the specific context of existing authorities, each option was assessed for its ability to: a) advance the interests of the Oceans Act; b) protect the marine environment; c) avoid/minimize conflict with existing water-dependent uses; d) provide flexibility for new uses and future changes to management based on an increasing understanding of the marine environment, new technologies, and evolving social values; e) apply management/regulatory limits that can be substantiated by current data; f) use and streamline existing law/regulation to allow regulatory decisions appropriate to the scale of potential impact; and g) employ new data and information within an adaptive framework.

SeaPlan: To support the state, our role included gathering and synthesizing information from over 100 individual and group meetings and workshops, and scoping and managing numerous technical projects, including: a) [a review of ocean management framework options](#), b) [a use-resource compatibility analysis](#), c) [a review of science tools to support EBM approaches to ocean management](#), d) [potential approaches for data-driven compensatory mitigation determination](#), and e) [characterization of community spatial and socio-economic linkages to MA waters](#). SeaPlan is currently supporting CZM’s MA Plan Amendment process with stakeholder engagement/facilitation and plan performance evaluation services.

Contact Information: Bruce Carlisle, Director
251 Causeway Street Boston, MA 02114
Phone: (617) 626-1205 bruce.carlisle@state.ma.us

Cape Wind Associates, LLC

Cape Wind Renewable Energy Project

Nantucket Sound, Massachusetts

ESS Group, Inc. is the lead environmental engineer and consultant chosen by Cape Wind Associates, LLC (CWA) for the development of the nation's first proposed offshore wind farm to be sited in the federal waters of Nantucket Sound. The Cape Wind Project involves the siting, permitting, and construction of up to 130 wind turbines capable of generating up to 468 MW of power, an offshore electric service platform, a submarine cable transmission link, and the upland cable interconnection with New England's power grid. Once completed, the project will be one of the largest offshore wind power generation facilities in the world.

Since 2001, ESS has provided technical support with regard to all environmental baseline studies and impact assessments, permit applications, and related studies. This includes the preparation, coordination, and/or completion of numerous federal, state, and local permits, providing Energy Facilities Siting Board (EFSB) technical support and expert witness testimony, and responding to scoping requests by the Department of Interior Minerals Management Service (MMS) during the development of a National Environmental Policy Act (NEPA) Environmental Impact Statement (EIS). Throughout the NEPA process, ESS participated in a wide array of public informational meetings and regulatory hearings that engaged project stakeholders from the general public, non-government organizations, and federal, state, and local regulatory agencies.

ESS has also evaluated potential project impacts on wildlife, the environment, and marine vessel traffic, including USCG search and rescue operations. These evaluations, assessments, and studies have resulted in an ESS-developed Avian and Bat Monitoring Plan, Incidental Harassment Authorization (IHA) for marine mammals, first-ever detailed Navigational Risk Assessment to the USCG First District, Determination of No Hazard with the Federal Aviation Administration (FAA), and an Oil Spill Response Plan.

In addition, ESS also prepared and submitted an application for a USEPA permit for air emissions from project activities that are subject to the Outer Continental Shelf Lands Act. Additionally, ESS also provided an air quality conformity analysis and conducted air quality modeling of construction activities to demonstrate that those activities would not cause or contribute to a violation of federal ambient air quality standards.

In April 2010, US Secretary of the Interior Ken Salazar issued his Record of Decision for the Cape Wind Project, marking a critically important milestone that would enable the project to proceed toward construction. In October of the same year, the lease for the Cape Wind Project was signed and in April 2011 the Bureau of Ocean Energy Management, Regulation and Enforcement announced the approval of the project's federally mandated Construction and Operation Plan (COP), which was drafted by ESS.



Source: Cape Wind Associates, LLC

Relevant Services Include:

- Wind Farm Siting Evaluation
- Transmission Interconnection Study
- Land Fall Alternatives and Upland Cable Linear Routing Analyses
- Environmental Impact Assessments
- Geophysical/Geotechnical Survey Program Management
- Agency Outreach
- Preliminary Siting and Routing Design
- Federal Permitting:
 - US Army Corps of Engineers (USACE) Section 10/404
 - NEPA EIS
 - USACE Draft Environmental Impact Statement/Report (DEIS/DEIR)
 - MMS Scoping Requests
 - ESA Section 7
 - Section 106 NHPA
 - IHA
 - FAA Determination of No Hazard
 - USEPA Air Permit
 - NPDES Permit
- State Permitting:
 - Expanded Environmental Notification Form (ENF) for Massachusetts Environmental Policy Act (MEPA)
 - MEPA Environmental Impact Report (EIR)
 - Energy Facility Siting Board (EFSB)
 - Notice of Project Change for MEPA
 - Chapter 91 Waterways License
 - 401 Water Quality Certificate (WQC)
 - MassHighway Department (MHD) Access
 - Executive Office of Transportation (EOT)
 - Federal Coastal Zone Management Consistency – Massachusetts CZM
- Regional Permitting:
 - Cape Cod Commission Development of Regional Impact (DRI) Review
- Avian Field Studies and Monitoring Plan
- Navigational Risk Assessment
- Air Quality Impact Modeling
- Oil Spill Response Plan
- Construction and Operations Plan

Please visit: www.capewind.org for more information on the Cape Wind project.

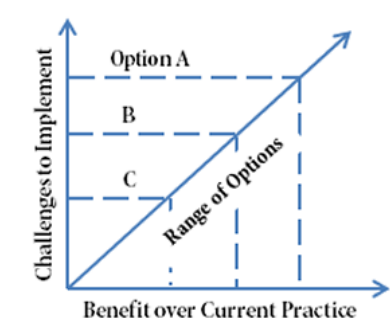
Contact Information: Craig Olmsted
20 Park Plaza, Suite 320 Boston, MA 02116
Phone: 617-904-3100 xt 119 colmsted@emienergy.com



Rate Chart

| | | |
|---------|--------------------|--------|
| SeaPlan | Deerin Babb-Brott | \$ 79 |
| | Andy Lipsky | \$ 69 |
| | Patrick Siebenlist | \$ 17 |
| | Dave Kellam | \$ 42 |
| | Ian Mogavero | \$ 41 |
| | SeaPlan Law Fellow | \$ 10 |
| ESS | Chris Rein | \$ 194 |
| | Terry Orr | \$ 170 |
| | Scott Lundin | \$ 130 |
| | Stephanie Chaston | \$ 85 |
| RWU | Susan Farady | \$ 110 |
| | Julie Wyman | \$ 74 |
| CV | Drew Carey | \$ 129 |

Figure 1: Options Analysis



The figure above displays a method of characterizing and evaluating potential options. Potential options fall somewhere on the range of options line, represented by subset A, B and C. The range can determine the relative merits of potential options by applying best professional judgment metrics related to implementation and benefit. Potential options can then be presented in matrix form to compare, contrast, and prioritize by desired outcome. Please see proposal text for further discussion.

Metrics

| Options | Ability to Implement | Better Access to Info | Data utility maintained |
|----------|----------------------|-----------------------|-------------------------|
| Option A | H | H | H |
| Option B | M | M | M |
| Option C | L | L | L |



UNIVERSITY OF MASSACHUSETTS BOSTON
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January 24, 2014

Dani Carter
Northeast Regional Ocean Council
30 Willow Street
Yarmouth, MA 04096

RE: Proposal Submitted on behalf of Mr. Jack Wiggin from the Urban Harbors
Institute at the University of Massachusetts Boston

Dear Ms. Carter

On behalf of the University of Massachusetts Boston and Mr. Jack Wiggin from Urban Harbors Institute at the University of Massachusetts Boston, I am pleased to submit the enclosed proposal entitled: *NROC: Support for Existing Regulatory Processes*.

If you have any programmatic questions, please contact Mr. Wiggin at jack.wiggin@umb.edu or at 617 287-5571. If you have any administrative questions, please contact Ms. Paula Noonan at paula.noonan@umb.edu or at 617 287-5371.

Thank you

Sincerely yours,

A handwritten signature in blue ink, appearing to read 'Matthew Meyer', written over the typed name.

Matthew Meyer
Director
Office of Research and Sponsored Programs



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BOSTON
100 Morrissey Blvd.
Boston, MA 02125-3393

Urban Harbors Institute
617.287.5570
Fax: 617.287.5575

January 27, 2014

Mr. John Weber
Ocean Planning Director
Northeast Regional Ocean Council

Dear Mr. Weber:

The Urban Harbors Institute at the University of Massachusetts Boston is pleased to submit this proposal in response to the Northeast Regional Ocean Council's RFP, *To Support the Identification of Options to Enhance Interagency Coordination, Public Input, and the Use of Data in Decision Making*. The Urban Harbors Institute has assembled a team with demonstrated experience with state and federal agencies and their associated regulations regarding the siting, leasing, permitting, and environmental review of various uses of ocean space; comprehensive knowledge of key marine industries including offshore energy, aquaculture, sand and gravel extraction, and carbon sequestration; stakeholder engagement; meeting facilitation; and decision modeling.

This proposal describes the team's understanding of and approach to the project and presents a detailed work plan for completing the deliverables, a timeline, and an itemized budget. We are committed to implementing this proposed work plan with all diligence and dedication. Please contact me with any questions regarding this proposal.

Jack Wiggin
Director
Urban Harbors Institute
University of Massachusetts Boston
100 Morrissey Boulevard
Boston, MA 02125
617-287-5570
Jack.Wiggin@umb.edu

Thank you for this opportunity to support regional ocean planning and contribute to the important work of the Northeast Regional Planning Body.

Sincerely,

A handwritten signature in blue ink, appearing to read 'Jack Wiggin', is written over a printed name and title.

Jack Wiggin
Director

**A Proposal to Support the Identification of Options to Enhance Inter-Agency
Coordination, Public Input, and the Use of Data in Decision Making**

Submitted by

Urban Harbors Institute
University of Massachusetts Boston

January 27, 2014

Urban Harbors Institute
University of Massachusetts Boston
100 Morrissey Boulevard
Boston, MA 02125

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I. Executive Summary

The Urban Harbors Institute (UHI), University of Massachusetts Boston proposes to assist the Northeast Regional Planning Body (RPB) in a process that will identify options for enhancing inter-agency coordination, public input, and the use of data in existing regulatory processes in furtherance of ocean planning in New England. In collaboration with the ocean planning staff and the RPB's Regulatory Working Group the UHI team will conduct a process to fully understand, evaluate, and document the federal and state regulatory authorities over ocean development activities and the processes of implementation. In addition, the UHI team will engage a broad representation of four sectors of ocean industry (energy infrastructure, aquaculture, sand and gravel extraction and carbon, sequestration) and environmental nongovernmental organizations for their perspectives and insights on how regulatory and environmental reviews are implemented, how inter-agency coordination could be enhanced, and how regional ocean products could be better developed in support of regulatory reviews.

The UHI team is comprised of the institute's core staff and senior associates. The five team members possess precisely the expertise, capabilities and experience necessary to efficiently conduct the tasks associated with this project. Jack Wiggin, UHI director, will serve as the primary point of contact for the project, with John Duff, Associate Professor of Environmental Law and Policy, UMB School for the Environment and UHI senior associate, as the key resource for analyzing the regulatory authorities. Wiggin and Duff both possess the needed relevant experience with NEPA and other regulatory authorities as exercised in the ocean realm of New England. Both have significant experience in Massachusetts, in addition to Duff's experience in Maine at the Marine Law Institute, University of Maine School of Law, and Wiggin with the Connecticut Coastal Area Management Program. Steven Gray, Assistant Professor of Human Ecology, School for the Environment, and newest UHI senior associate specializes in participatory modeling which helps decision makers analyze the environmental systems being managed and build trust common understanding among stakeholders. We propose potentially incorporating this into the agency and nongovernmental processes. Gray will also contribute to survey design and analysis. Allison Novelly is a graduate of the Roger Williams Law School with a MA in Marine Affairs from the University of Rhode Island. She will collaborate with Duff on the analysis of authorities. Kristin Uiterwyk, research associate, has worked on numerous projects at UHI specializing in stakeholder engagement and public participation. Our backgrounds and project experiences are detailed in the proposal.

All tasks and aspects of this project will be handled by experienced, qualified personnel with significant experience in ocean, coastal and environmental management. We have engaged with most if not all of the agencies that exercise jurisdiction in the ocean and have worked with a great many of the relevant businesses and nongovernmental organizations. Because of this, the UHI team can be uniquely efficient and effective in carrying out the scope of work.

II. Work Plan

Task 1: Review existing research on regulatory authorities

Upon the release of Roger Williams University's draft report on regulatory authorities, two team members (Duff and Novelly) will review the document for accuracy and completeness, and will work with the report's authors to provide any necessary corrections and/or additional information. This work will be completed within a month of the draft report's release. Duff and Novelly are well positioned to

execute this task efficiently and accurately, drawing on their legal backgrounds and familiarity with existing regulatory and environmental review authorities related to the siting of energy infrastructure, aquaculture, sand and gravel extraction, and carbon sequestration.

Deliverable: Review and revision of Roger Williams University's draft report on regulatory authorities.

Task 2: Support and document discussions with regulatory and environmental review agency staff in the region

1. Individual meetings with federal and state agencies

- a. In consultation with the ocean planning staff and Regulatory Work Group (RWG), the senior member or members of the UHI team will arrange the individual meetings with the appropriate staff of those federal and state agencies identified by the RWG. UHI team members have been engaged with most of these agencies on policy, planning or regulatory matters or through regional associations in the past, so we may well know and be known by the agency lead or regulatory staff, which will facilitate the scheduling and discussions.
- b. Utilizing (1) the final product of RWU's overview of existing regulatory and environmental review authorities as refined and augmented by our work under Task 1, (2) any summaries or material generated from the earlier round of meetings, as applicable, (3) additional information and guidance on implementation of the subject authorities produced by the agency or others, and (4) the UHI team's knowledge and expertise, we will, in advance of each meeting, prepare a summary of the relevant aspects of the regulatory program, i.e., "meeting materials," to serve as the foundation for the discussion. This preparation will serve not only to focus the discussions, but will allow us to consider and suggest potential means to improve interagency coordination in advance, and will be useful for the final summary report. In addition, following each agency meeting, we will product meeting summaries, including topics discussed and ideas presented.
- c. This proposal anticipates and accommodates, at a minimum, 8-10 federal agency meetings and 6 state agency meetings. UHI's Boston location is an asset in terms of time and cost associated with conducting these in-person meetings. Most of the federal agency offices are in Boston or its surrounding communities and Boston is central to each of New England (and New York) capital cities where the state agencies generally are headquartered.

To the extent possible and convenient to the state agency contacts, we will propose sequential or joint meetings for the same date in each location as there are multiple agencies at the state level with authorities touching on the specific types of ocean development activities identified in the RFP. Depending on interview progress and results of concurrent research, we will schedule an additional meeting with individual agencies as needed.

See project timeline for proposed schedule of meetings.

Deliverable: Documentation of the results of the agency-by-agency meetings via meeting materials and meeting summaries.

2. Joint agency meeting

- a. Assist the RWG with planning, convening and conducting a meeting of all state and federal agencies that are part of the consultation.

- 1) Work with the RWG and ocean planning staff to select the date and location for this meeting. While one meeting is ideal from the perspective of information exchange and coordination, UHI's work plan has the flexibility to conduct a second meeting.
- 2) Consult with the RWG and ocean planning staff in preparing drafts of the meeting agenda. Prepare written handouts of background material including summary notes of agency staff discussions held prior to the meeting for distribution in advance of the meeting, and presentation materials for the meeting, and meeting summaries for distribution following the meeting.
- 3) The entire UHI team will be involved in the preparation and conduct of the meeting. Our three senior members have considerable experience with facilitating (or helping to facilitate) meetings and each brings extensive knowledge and experience with regulatory jurisdictions and processes and interagency coordination. Importantly, the entire team has relevant qualifications (law, governance, marine affairs) and experience with similar projects as documented in this proposal.

See project timeline for proposed schedule of the joint meeting(s).

Deliverable: Documentation of the results of the joint agency meeting via meeting materials and meeting summaries.

Task 3: Support engagement of non-governmental regulatory professionals

1. UHI will work collaboratively with the ocean planning staff to identify, contact, and engage with regulatory staffs serving ocean industry and environmental NGOs.

The UHI team has considerable experience in working directly with these industries and NGOs. We are and have been for 25 years leaders and members of coastal- and ocean-related committees or organizations in which these sectors participate (Environmental Business Council of New England, Gulf of Maine Council on the Marine Environment, National Working Waterfront Network, Massachusetts Wind Energy Working Group, to name a few; see team resumes for full listing).

- a) UHI will prepare a comprehensive list of industry representatives and NGOs with an interest and/or past involvement in the general topic of ocean management and regulation and in the four specifically identified types of ocean development: energy infrastructure, aquaculture, sand and gravel extraction, and carbon sequestration.

The list of NGOs will be compiled using multiple sources:

- 1) UHI's knowledge and data bases of national (with a presence in this region), regional, state-based, and local non-governmental organizations (e.g., The Nature Conservancy, Great Bay Aquaculture of Maine, Great Bay Aquaculture of New Hampshire, Cooke Aquaculture, Cape Wind).
- 2) Organizations appearing in the records of meetings held by the RPB, NROC, state ocean and coastal planning efforts, etc.
- 3) Participants/commenters on environmental impact statements/reviews or other regulatory processes for ocean development proposals.
- 4) Consultations with government agency staff and leading NGOs with whom we have contacts.

The list of NGOs will be organized by the group's (a) topic interest area, (b) geographic interest area, (b) level/type of past involvement in ocean management and regulatory

matters. The list will include recommended contacts within those industries, industry organizations, or NGOs.

The list of industry representatives will be compiled using a similar multiple source process:

- 1) UHI's knowledge and records of companies directly involved in the four types of ocean development, and the technical consultants and law firms that have advised these companies.
- 2) Firms appearing in the records of meetings held by the RPB, NROC, state ocean and coastal planning efforts, etc.
- 3) Companies UHI has worked with or been the subject of one of our ocean and coastal projects, such as the Feasibility Study for the Ocean Campus Center in which we interviewed over 100 ocean industry representatives, or the BOEM OCS Renewable Energy Space-Use Conflicts study in which we were involved and interviewed multiple private-sector stakeholders in the subject industries.
- 4) Consultations with industry organizations and government agency staff with whom we have contacts.

Deliverable: The compiled lists will be delivered to the RWG and ocean planning staff within two weeks of the start date. After consultation, UHI will draft the engagement plan reflecting the input of the planning staff and RWG by the end of month one.

b) Methods of engagement

Once the list of those to be engaged is determined, contact with these business and NGO representatives will be accomplished in one of several ways:

- 1) individual meetings with regulatory staff or equivalent members for the most active and engaged organizations as these discussions are likely to be quite substantive and informed;
 - 2) structured interview by telephone;
 - 3) questionnaire delivered by email (e.g., survey monkey format) following the same structure as the telephone interview;
 - 3) to the extent there are meetings or events at which representatives are in attendance, UHI will initiate and conduct the engagement. As active members of the Environmental Business Council and former chair of their ocean and coastal committee, UHI can readily utilize this organization to assist in gathering and hosting a number of business representatives.
- c) Level of engagement: an initial round of meetings/conversations will be held and the responses compiled. Out of this round, it is expected a number of issues or ideas will be raised that will require follow-up discussions. The UHI team anticipates a second, more limited, but focused, set of interviews that, depending on the complexity of the discussion, will be conducted in person or by telephone.
- d) A member(s) of the UHI team will conduct these interviews to elicit input on the following:
- 1) How existing environmental review and regulatory authorities are implemented on-the-ground by government agencies in New England;

- 2) Potential ways to enhance state-federal, inter-agency coordination, as well as communication and coordination among regulatory agencies, project proponents and others participating in regulatory processes; and
 - 3) Ways that regional ocean planning products, including the Northeast Ocean Data Portal and topic-specific geo-referenced data and maps, could be developed to enhance their utility in a regulatory (project review) context.
- e) Each NGO meeting will be documented via a written meeting summary, including topics discussed and ideas presented.

Deliverable: Following completion of the NGO meetings, the compiled meeting summaries will be delivered to ocean planning staff and the RPB. The summaries will be drafted to help inform development of specific options and topics for further discussion.

Task 4: Summarize findings of Tasks 1-3 and prepare materials in support of a public workshop

The project team will prepare a written summary of Tasks 1-3, with a focus on the results of the meetings with government and non-government stakeholders. The summary will provide options, explained by case studies where appropriate, for achieving effective decision making. These options for achieving effective decision making will also be provided in a format that will be appropriate for use in a discussion at the public workshop. This summary will be developed at least 4 weeks prior to the workshop, and will be made available online and through an email outreach campaign for public review and comment.

The project team will present the findings of the summary at a public workshop, and will assist in documenting the results of the workshop with dedicated note-takers. The note-takers will assist with developing a draft workshop summary which the team and NROC can review.

Deliverable: Written summary of Tasks 1-3, presentation of this summary at the workshop, and documentation of workshop results in a written workshop summary.

Task 5: Develop final report, including options

The project team will draft a final project report, outlining the methods and results of Tasks 1-4. This draft will be in a format suitable for publication and posting online, and will be available approximately 2 months after the public meeting. This draft will be shared with the Northeast Regional Planning Body and members of the public for review. Following their reviews, the project team will revise the report, and will submit a final version in late September, 2014. As with the draft version, the final report will also be in a format that is appropriate for publication online and in hard copy format.

Deliverable: Draft and revision of final project report, outlining the methods and results of Tasks 1-4.

Timeline

| | | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct |
|--------|--|-----|-----|-----|-----|-----|-----|-----|-----|-----|
| Task 1 | Review draft and provide input | | | | | | | | | |
| Task 2 | Individual agency meetings | | | | | | | | | |
| | Joint agency meeting | | | | | | | | | |
| Task 3 | Non-governmental meetings | | | | | | | | | |
| Task 4 | Develop and disseminate summary of Tasks 1-3 | | | | | | | | | |
| | Public Workshop | | | | | | | | | |
| Task 5 | Draft report submitted | | | | | | | | | |
| | Final report submitted | | | | | | | | | |

III. Budget

| Detailed budget | | | | | | | | | | | | | |
|---|----------------------|--------|------------|--------|-------------|--------|-------------|--------|-------------|--------|------------|--------------|--------------------|
| To Support the Identification of Options to Enhance Inter-Agency Coordination, Public Input, and the Use of Data in Decision Making | | | | | | | | | | | | | |
| | Labor Burdened Rate* | Task 1 | | Task 2 | | Task 3 | | Task 4 | | Task 5 | | Total Effort | |
| | | Hours | Total | Hours | Total | Hours | Total | Hours | Total | Hours | Total | Hours | Dollars |
| Labor | | | | | | | | | | | | | |
| Wiggin | \$102.88 | | | 60 | \$6,172.80 | 52 | \$5,349.76 | 48 | \$4,938.24 | 24 | \$2,469.12 | 184 | \$18,929.92 |
| Duff | \$113.51 | 20 | \$2,270.20 | 56 | \$6,356.56 | 32 | \$3,632.32 | 40 | \$4,540.40 | 16 | \$1,816.16 | 164 | \$18,615.64 |
| Gray | \$73.78 | | | | | 32 | \$2,360.96 | 32 | \$2,360.96 | | | 64 | \$4,721.92 |
| Uiterwyk | \$68.18 | | | 40 | \$2,727.20 | 48 | \$3,272.64 | 32 | \$2,181.76 | 16 | \$1,090.88 | 136 | \$9,272.48 |
| Novelly | \$59.55 | 32 | \$1,905.60 | 76 | \$4,525.80 | 48 | \$2,858.40 | 60 | \$3,573.00 | 24 | \$1,429.20 | 240 | \$14,292.00 |
| <i>Subtotal Labor</i> | | 52 | \$4,175.80 | 232 | \$19,782.36 | 212 | \$17,474.08 | 212 | \$17,594.36 | 80 | \$6,805.36 | 788 | \$65,831.96 |
| Travel | | | | | | | | | | | | | |
| | | | | Miles | Total | Miles | Total | | | | | | |
| Mileage | 0.56/mile | | | 1,024 | \$1,170.00 | 650 | \$364.00 | | | | | | \$1,534.00 |
| <i>Subtotal Travel</i> | | | | | \$1,170.00 | | \$364.00 | | | | | | \$1,534.00 |
| Supplies | | | | | | | | | | | | | |
| Telephone and printing | | | | | | | | | | | | | \$425.00 |
| <i>Subtotal</i> | | | | | | | | | | | | | \$425.00 |
| Joint Agency Meeting | | | | | | | | | | | | | |
| Facility | | | | | \$800.00 | | | | | | | | \$800.00 |
| Food | | | | | \$465.00 | | | | | | | | \$465.00 |
| Attendee Travel | | | | | \$650.00 | | | | | | | | \$650.00 |
| Supplies/materials | | | | | \$275.00 | | | | | | | | \$275.00 |
| <i>Subtotal Meeting</i> | | | | | \$2,190.00 | | | | | | | | \$2,190.00 |
| Totals | | | | | | | | | | | | | \$69,980.96 |

* Indirect rate = 52.5%

IV. Team Structure and Qualifications

Team Experience & Qualifications

The project team is comprised of staff and faculty from the University of Massachusetts Boston. The project lead is Jack Wiggin, Director of the Urban Harbors Institute. His staff (Allison Novelly and Kristin Uiterwyk) will conduct research and writing throughout the project tasks. Additional members of the team include John Duff and Steven Gray, both faculty members from the School for the Environment. John Duff will lead the review of the draft report produced by Roger Williams University (Task 1) and will contribute to the other tasks as appropriate. Steven Gray will contribute his expertise with participatory modeling as a means to help analyze decision making, and build trust and common understanding among stakeholders. We propose potentially incorporating this into the agency and nongovernmental processes. Gray will also contribute to survey design and analysis. Specific details about each team member's role and qualifications, along with an organizational chart, are below.

Jack Wiggin, AICP is the Director of the Urban Harbors Institute at the University of Massachusetts Boston, and has been involved in ocean planning at the state, regional and federal level for more than twenty years. His accomplishments in ocean planning include leading a project to assist the State of Massachusetts with developing a framework for the Massachusetts Ocean Management Plan, serving on the Gulf of Maine Council, actively participating in many NROC meetings, and significantly contributing to a federal project looking at stakeholder uses of the outer continental shelf as they relate to offshore energy development. Mr. Wiggin is a highly experienced project leader accomplished in meeting/workshop facilitation. He is current on proposed uses of state and federal waters and can draw upon a strong network of regulatory professional contacts in the private sector and in state and federal government agencies to complete Tasks 2 and 3. More specifically, Mr. Wiggin has interviewed regulatory personnel and members of the offshore energy, sand and gravel mining, and aquaculture industries for a variety of projects focused on offshore use conflicts and workforce training needs. Mr. Wiggin will serve as project lead, and his background and skill set will be fundamental to the completion of Tasks 1-5, with a specific focus on completing Tasks 2-5.

John Duff, L.L.M

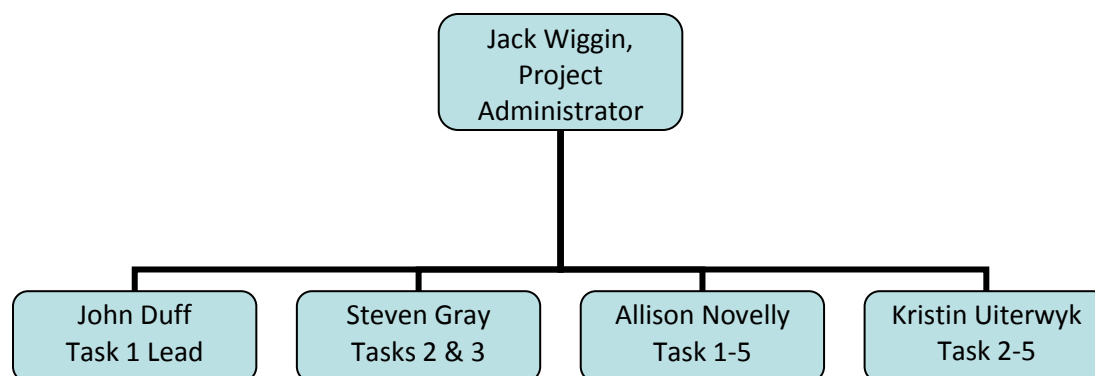
John Duff received his J.D. from Suffolk University Law School in Boston and his LL.M. from the Law and Marine Affairs Program at the University of Washington. He also holds degrees in Business (B.S.B.A.) from the University of Lowell and Journalism (M.A.) from the University of Mississippi. Over the course of the last twenty-five years he has worked as a newspaper reporter; an attorney in private practice; served as general counsel to a nonprofit organization focusing on marine habitat protection issues; and, has directed the marine law research programs at the law schools of the universities of Mississippi and Maine. He has been engaged in teaching and research at the University of Massachusetts Boston since 2004. Prof. Duff's research has been published in a variety of journals and professional reports. He is a co-editor of the book *INTERNATIONAL OCEAN LAW*; he serves on the editorial board of *OCEAN DEVELOPMENT AND INTERNATIONAL LAW*; and, he is a past president of The Coastal Society. He has served as an advisor to a wide range of municipal, state, federal and intergovernmental agencies and programs. Professor Duff's legal and policy backgrounds and research skills will play a significant role in leading the team's completion of Task 1. Professor Duff has also published papers on the topics of offshore energy development and offshore aquaculture. His in-depth knowledge of these topics will help to inform work on Tasks 2 and 3.

Steven Gray, Ph.D.

Steven Gray is an assistant professor of human ecology at the School for the Environment at the University of Massachusetts Boston. His research focuses on developing decision-support software to help communities, resource managers, and other decision-makers to understand, and to adapt to, the social impacts of climate and other environmental changes. This research has been funded domestically by the National Science Foundation and by federal resource management agencies such as the National Oceanic and Atmospheric Administration, the United States Department of Agriculture, and the United States Geological Survey. Currently his lab is working on a participatory modeling software called Mental Modeler, which he, his students, and colleagues are applying in a variety of environmental planning and research contexts, including marine spatial planning in Ireland, coastal hazard planning in the Pacific Islands, conservation agricultural planning in Nepal and India, and understanding the bushmeat trade dynamics for conservation planning in Tanzania.

Kristin Uiterwyk, M.A.M.A., is a Research Associate with the Urban Harbors Institute, and has conducted research on the compatibility of ocean uses and resources at both the state and federal level. She is highly accomplished in work involving stakeholder engagement, research, and the synthesis of multiple perspectives. Examples of such projects include working with scientists and managers to identify indicators for the Massachusetts Ocean Management Plan; interviewing Indicator Programs to identify challenges and opportunities for collaboration; and working with scientists, fishermen, and managers to develop a shellfish management plan for the Town of Nantucket. She is also experienced with GIS. Ms. Uiterwyk has worked on projects examining and mitigating the conflicts related to offshore use at the state and federal level. She is a skilled meeting facilitator with excellent research and writing skills which will be central to the team's completion of Tasks 2-5.

Allison Novelly, J.D., M.M.A., is a Research Analyst with the Urban Harbors Institute, and is a licensed attorney with a law degree from Roger Williams University and a Masters degree in Marine Affairs from the University of Rhode Island. She has conducted research on ocean planning-related issues including an examination of authorities to implement mitigation measures pertaining to renewable energy developments on the outer continental shelf, as well as space-use conflicts on the outer continental shelf. In addition to her legal background, Ms. Novelly possesses strong research and writing skills which will be vital to the team's completion of tasks 1-5.



Summary of Projects

The project team is current on its knowledge of the ocean uses of interest to NROC, and has done a great deal of work pertaining to siting ocean uses, understanding and mitigating potential impacts on

other uses and resources, and the regulatory structures in which ocean and coastal development must operate. The team also has extensive experience working with regulatory agencies and stakeholders to identify and understand issues and to build consensus. The following project descriptions highlight some of the team's relevant work featuring ocean uses of relevance to NROC, and emphasize team member's abilities to conduct thorough and efficient research and outreach.

Strategic Plan for the Ports of Massachusetts

2013

UHI is part of a multidisciplinary team preparing a *Strategic Plan for the Ports of Massachusetts* for the Ports of Massachusetts Compact which is comprised of several of the Commonwealth's executive agencies and the five major ports of the Commonwealth: Boston, Fall River, Gloucester, New Bedford and Salem. The purpose of the plan is to improve coordination between and among the ports and state government and to guide future investments, policy, initiatives and planning for the ports to achieve more efficient, interconnected service to better meet port customers' needs and the needs of a regional economy. This plan will be based upon analysis of the Commonwealth's port network including each port's operations and needs; barriers to improved service; and state, regional, and national marine transportation and economic trends as they relate to the Massachusetts port network. UHI conducted research, including interviews with industry experts, to identify current conditions and to understand future opportunities for each port.

Funded by the Massachusetts Department of Transportation. Matt Ciborowski, Project Manager, MassDOT, matthew.ciborowski@state.ma.us

Promoting Sustainable Working Waterfronts: A Toolkit for Community and Economic Development Practitioners

2011-2012

UHI was part of a team of researchers preparing a study of the needs, challenges, and strategies for protecting and strengthening working waterfronts. The project entailed (1) researching, collecting, analyzing, and synthesizing information on the historical changes and current trends in the use of waterfront space; existing policy, legal tools and financing mechanisms; (2) preparing illustrative case studies; (3) conducting an economic analysis of working waterfronts; and (4) creating a web-based toolkit accessible by coastal communities, waterfront businesses and others interested in preserving and strengthening working waterfronts. The range of strategies included land-use techniques, economic diversification, taxation policies, grants, public investment, and public education.

Funded by the US Dept. of Commerce, Economic Development Administration. Contact: Nick Battista, Island Institute, nbattista@islandinstitute.org

Digital Coastal Habitat Atlas of Boston Harbor

2010-2011

UHI, in partnership with the Mass Bays Program, created an online, interactive coastal atlas for Boston Harbor that focuses on habitats and factors affecting habitats. The atlas documents the characteristics and quality of coastal habitats across the Boston Harbor region to: (1) identify and prioritize sites that could benefit from improved management; and (2) make recommendations for actions at priority locations. This web-based tool allows users to define query parameters and generate maps and tables interactively, as well as view and utilize images, data, illustrations and decision support tools.

Funded by the Massachusetts Environmental Trust and Massachusetts Bays Program. Contact: Lisa Engler lisa.engler@state.ma.us

Identification of Outer Continental Shelf (OCS) Renewable Energy Space-Use Conflicts and Analysis of Potential Mitigation Measures

2009-2011

UHI was part of a multidisciplinary team conducting a research study to identify space-use conflicts between renewable energy development and current and potential new uses in coastal and offshore waters and the Outer Continental Shelf of the Atlantic and Pacific Oceans. The team engaged stakeholders through meetings and interviews to better understand user patterns, potential space-use conflicts, and reasonable strategies to mitigate those conflicts. A geospatial database of all available and synthesized information was compiled to create maps showing ocean uses and the potential for space use conflicts.

Funded by the USDOT, Bureau of Ocean Energy Management.

Ecosystem Health Indicators Study and Conference

2010-2011

Funded by Communication Partnership for Science and the Sea (COMPASS) and the Massachusetts Ocean Partnership (MOP), UHI identified and interviewed nine indicator programs, largely in the northeast, to develop information about the challenges and advantages of using indicators to monitor and convey information about natural resource health and management. UHI generated a report based on the results of the interviews, and contributed to the design and implementation of the agenda for the 2011 Ecosystem Health Indicators Conference, held to strengthen coordination and integration of regional indicator initiatives in New England.

Funded by Communication Partnership for Science and the Sea (COMPASS) and the Massachusetts Ocean Partnership (MOP). Contact: Stephanie Moura. 617 737-2600 x101. smoura@seaplan.org

Strategic, Technical and Administrative Support to EEA Ocean Planning Process

2009

UHI was part of a team providing assistance to the Massachusetts Executive Office of Energy and Environmental Affairs to develop the mechanisms for coordinating federal agency decision making with the goals of the Massachusetts Ocean Management Plan, and to prepare GIS-based characterization of federal waters adjacent to the Massachusetts ocean planning area.

Funded by the Massachusetts Executive Office of Energy and Environmental Affairs. Contact: Charlie Natalie. 781 419-7696.

Development of Planning Framework Options for Integrated Multi-use Ocean Management in Massachusetts

2008-2009

UHI led a multidisciplinary team to provide the Commonwealth of Massachusetts with assistance in designing the framework for management of the state's ocean waters. The project entailed research on and assessment of ocean management planning programs around the world, methodologies to determine use and use/resource compatibilities (focusing on sand and gravel mining, offshore renewable energy, navigation/transportation, recreational fishing, commercial fishing, pipes and cables, and deep-water aquaculture), marine spatial planning, and the ecosystem and socio-economic models and tools to support decision making.

Funded by the Massachusetts Ocean Partnership. Contact: Stephanie Moura. 617 737-2600 x101. smoura@seaplan.org

V. Appendices

Resumes

Jack Wiggin, AICP

Professional Employment

| | |
|----------------|---|
| 1/04 - present | Director |
| 8/94 - 12/03 | Associate Director |
| 7/89 – 7/94 | Assistant Director |
| | Urban Harbors Institute University of Massachusetts Boston 100 Morrissey Blvd. Boston, MA 02125-3393 USA 617 287-5570 |
| 8/86 - 7/89 | Chief Land Use Planner |
| | Robinson & Cole, LLP Hartford, Connecticut |
| 9/84 - 6/86 | Teacher |
| | Livorno American High School Pisa, Italy |
| 8/81 - 8/84 | Senior Environmental Planner |
| | Connecticut Department of Environmental Protection Coastal Resources Management Division Hartford, Connecticut |
| 7/78 - 8/81 | Environmental Planner |
| | Connecticut Department of Environmental Protection Coastal Resources Management Division Hartford, Connecticut |

Teaching

- Adjunct Faculty, Department of Environmental, Earth and Ocean Sciences, University of Massachusetts Boston (*Urban Planning, EEOS 375; Planning and Land Use Law, EEOS 340*)
- Instructor, *Heritage Harbour Revitalization*, Cultural Resource Management Program, University of Victoria.
- Adjunct Associate Professor, Intercampus Graduate School of Marine Sciences and Technology, University of Massachusetts Boston.
- Instructor, Summer Transportation Institute, University of Massachusetts Boston, 2006 - present.
- Project Director and Instructor, Environmental Citizenship Academy, 2003 - 2004.
- Lead Instructor, Community Preservation Institute 2001 – 2003.
- Instructor, The Marine Studies Consortium. 1995-1999. (*Coastal Zone Management*)
- Instructor, University of Connecticut. *Planning Administration: Introduction to Planning* 1985.

Education

MS Urban Studies and Planning, Boston State College

Graduate studies in Economics, Trinity College

BA Sociology, Fairfield University

Representative Professional Associations and Activities

Renewable Energy Technical Advisory Work Group, Ocean Management Planning District of
Critical Planning Concern, Cape Cod Commission, 2010 -

Ecosystem Health Advisory Group, National Center for Ecological Analysis and Synthesis, 2010 –
Councilor, Gulf of Maine Council on the Marine Environment, 2007–

Secretary/Treasurer, Association of US Delegates to the Gulf of Maine Council, 2008 – 2012

Steering Committee, Center for Oceans, Climate Change and Security, McCormack Graduate School
of Policy Studies 2009 – present.

Board of Directors, Environmental Business Council of New England, 2006 – 2012.

Chairman, Ocean and Coastal Resources Committee

Board of Trustees, The Boston Harbor Association, 2007 –

Coastal Zone and Ocean Subcommittee, Climate Change Adaptation Advisory Committee, Mass.
Executive Office of Energy and Environmental Affairs, 2009 –

Strategic Planning Committee, Massachusetts Ocean Partnership Fund, 2006 –

Science Advisory Board, Massachusetts Executive Office of Environmental Affairs, 2004 - 2007.

Former Chairman and member, Advisory Council, Boston Harbor Islands National Park Area, 1998- 2004

Former Chairman and member, Coastal Resources Advisory Board, Massachusetts Coastal Zone
Management Program, 1991 – 2004

Editorial Board and Book Review Editor, *Environmental Management*, An International Journal for
Decision Makers and Scientists, Springer-Verlag New York, Inc., 1990 – 2000.

American Institute of Certified Planners (AICP), American Planning Association (APA), 1984 –

Selected Publications

Urban Harbors Institute, Mass. Ocean Partnership, EOS, Center for Survey Research, Ecotrust.
2011. *Massachusetts 2010 Recreational Boater Survey*. (J. Wiggin, PI)

Douglas, E., P. Kirshen, M. Paolisso, C. Watson, J. Wiggin, A. Enrici, and M. Ruth. 2011. *Coastal
Flooding and Environmental Justice: Identifying Potential Strategies for Adapting to Climate Change
in two urban communities in the Boston Metropolitan area, Massachusetts*. Accepted for publication
in *Mitigation and Adaptation Strategies for Global Change*.

Urban Harbors Institute, EOS, and Mass. Ocean Partnership. 2010. *Developing Performance
Indicators to Evaluate the Management Effectiveness of the Massachusetts Ocean Management
Plan*. (J. Wiggin, PI)

University of Massachusetts Boston Planning Frameworks Team and Massachusetts Ocean
Partnership. 2009. *Planning Framework Options for the Massachusetts Ocean Plan*. (Wiggin, PI)

University of Massachusetts Boston Planning Frameworks Team and Massachusetts Ocean
Partnership. 2009. *Compatibility Determination: Considerations for Siting Coastal and Ocean
Uses*. (J. Wiggin, PI)

University of Massachusetts Boston Planning Frameworks Team and Massachusetts Ocean
Partnership. 2009. *A Review of Ocean Management and Integrated Resource Management
Programs from Around the World*. (J. Wiggin, PI)

BIOGRAPHICAL SKETCH

John A. Duff

Associate Professor
School for the Environment
University of Massachusetts Boston
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Boston, MA 02125

Telephone: (617) 287-7445
Fax: (617) 287-7474
E-mail: john.duff@umb.edu

a Professional Preparation

University of Lowell, Lowell, Massachusetts, Business Administration, B.S.B.A., 1985. *Magna Cum Laude*
Suffolk University Law School, Boston, Massachusetts, Law, J.D., 1990.
University of Washington, Seattle, Washington, Law and Marine Affairs, LL.M., 1995.
University of Mississippi, Oxford, Mississippi, Journalism, M.A., 1997.

b. Appointments

| | |
|---|-----------|
| Associate Professor, School for the Environment, UMass Boston | 2009- |
| Graduate Program Director, School for the Environment, UMass Boston | 2009-2011 |
| Assistant Professor, Environmental, Earth & Ocean Sciences Dep't., UMass Boston | 2004-2009 |
| Senior Research Associate, Urban Harbors Institute, UMass Boston | 2004- |
| Faculty Supervisor, United Nations–Nippon Foundation of Japan Fellowship Programme | 2006- |
| Editorial Board Member, Ocean Development and International Law | 2001- |
| Director, Marine Law Institute, University of Maine School of Law | 2001-2004 |
| Co- Director, Marine Law Institute, University of Maine School of Law | 1999-2001 |
| Associate Research Professor, University of Maine School of Law | 1999-2004 |
| Visiting Fulbright Senior Scholar, University of Victoria (BC CANADA) Faculty of Law | 1998 |
| Director, MS-AL Sea Grant Legal Program, University of Mississippi School of Law | 1997-1999 |
| Senior Research Counsel, Mississippi Law Research Institute | 1997-1999 |
| Assoc. Director, MS-AL Sea Grant Legal Program, University of Mississippi School of Law | 1995-1997 |
| Research Counsel, Mississippi Law Research Institute | 1995-1997 |
| Adjunct law faculty member, University of Mississippi School of Law | 1996-1999 |

c. Publications

Duff, J., Dean, H., Gazit, T., Taggart, C., & Cavanagh, J., (2013) *On the Right Way to Right Whale Protections in the Gulf of Maine: Case Study*, Journal of International Wildlife Law & Policy, 16:4, 229-265.

Jay, S., Flannery, W., Vince, J., Liu, W.-H., Xue, J. G., Matcz, M., Zaucha, J., Janssen, H., van Tatenhove, J., Toonen, H., Morf, A., Olsen, E., Suarez de Vivero, J. L., Rodriguez Mateos, J. C., Calado, H., **Duff, J.**, Dean, H. (2013). *International Progress in Marine Spatial Planning*. In Chircop, Aldo, Coffen-Smout, Scott (Ed.), OCEAN YEARBOOK VOLUME 27 (pp. 171-212). Leiden, Netherlands: Ocean Yearbook, Brill Martinus Nijhoff.

Duff, J., *The Hague Line in the Gulf of Maine: Impetus or Impediment to Ecosystemic Regime Building?* 15:2 OCEAN AND COASTAL LAW JOURNAL 285-292 (2010).

Portman, M., **Duff, J.**, Köppel, J., Reisert, J., Higgins, M., *Offshore wind energy development in the exclusive economic zone: Legal and policy supports and impediments in Germany and the US*. 37 ENERGY POLICY 3596-3607 (2009).

Duff, J., *Assemblage-Oriented Ocean Resource Management: How the Marine Environment Washes Over Traditional Territorial Lines* 30:3 MICHIGAN JOURNAL OF INT'L LAW 643-663 (2009).

Duff, J., *Trends in Ocean Zoning – Layers of Confusion and Approaches to Clarity*, in THE FUTURE OF REGIME-BUILDING IN THE LAW OF THE SEA: ESSAYS IN TRIBUTE TO DOUGLAS M. JOHNSTON, 159-174 (A. Chircop, T. McDorman and S. Rolston eds.) (Brill Academic Publishers) (2009).

Wiggin, J. Uiterwyk, K., Bliven, S., Hellin, D., **Duff, J.**, Terkla, D., Bowen, R.; Rosenberg, A. Harrington, J., Swasey, J., Iudicello, S., O'Boyle, R., Hoagland, P., Kite-Powell, H. L., Jin, D., Courtney, F., Delaney, R., Hughes, P., Dalton, T. M., Orenstein, S., Ehler, C.N., Douvere, F., Kaufman, L., McCaffrey, C.T. Jr.; Napoli, N., Moura, S., and Starbuck, K., "Planning Framework Options for The Massachusetts Ocean Plan (DRAFT)" (2009). *Urban Harbors Institute Publications*. Paper 4.

Halvorson, H. and **Duff, J.** *Offshore aquaculture legislation designed to balance production and protection*, 56:10 MARINE POLLUTION BULLETIN 1673-1675 (2008)

Hoagland, P., Schumacher, M.E., Kite-Powell, H.L. and **Duff, J.A.** *Legal and Regulatory Framework for Siting Offshore Wind Energy Facilities*, (Offshore Wind Energy Collaborative Pilot Projects Grant Program, Massachusetts Technology Collaborative Project No. 2004-OWEC-01) 156 pp. (June 2006).

McDorman, Bolla, Johnston and **Duff**, INTERNATIONAL OCEAN LAW: MATERIALS AND COMMENTARIES, Carolina Academic Press (2005).

Duff, J., *Offshore Management Considerations: Law and Policy Questions Related to Fish, Oil and Wind*, 31 B.C. ENV'L AFF. L. REV. 385-402 (2004).

John A. Duff, *Public Shoreline Access in Maine – A Citizen's Guide to Ocean and Coastal Law*, (monograph produced by Marine Law Institute; Maine Sea Grant College Program; and, University of Maine Cooperative Extension) (2004).

Duff, J., Getchis, T., and Hoagland, P., *A Review of Legal and Policy Constraints To Aquaculture in the US Northeast*, Aquaculture White Paper No. 5 - NRAC Publication No. 03-005, 23 pp. (2003).

Duff, J., *The Coastal Zone Management Act: Reverse Preemption or Contractual Federalism?*, 6:1 OCEAN AND COASTAL LAW JOURNAL 109-118 (2001).

Prosser, Burrowes, Vestal and **Duff**, HARBOR MANAGEMENT: A LEGAL GUIDE FOR HARBOR MASTERS AND COASTAL OFFICIALS (2000 revised edition) (Maine State Planning Office & University of Maine Cooperative Extension Service).

d. Synergistic Activities.

John Duff's legal research and analysis appears in a wide range of scholarly publications. The focus of much of that work is the relationship between the state of natural resources (and how they are used) and the state of the law (and how it evolves). As a result, the research integrates principles of ecology, resource management, economics and public policy. It generates new understanding and knowledge about the manner in which, among other things, advances in technology change the manner in which humans impact ecosystems, which in turn prompts consideration of alternative approaches in law, policy and economics to monitor such changes and consider institutional changes in legal and regulatory regimes. In many cases that work is also applied to the issues arising in the various branches of state and federal government. Examples include:

1) John A. Duff and Kristen Fletcher, *Augmenting the Public Trust: The Secretary of State's Efforts to Create a Public Trust Ecosystem Regime in Mississippi*, 67 MISSISSIPPI LAW JOURNAL 645- 694 (Spring 1998) cited by the Mississippi Supreme Court in *Hoover v. Stewart*, 815 So.2d 1157, 1160 (Miss. 2002).

2) John A. Duff and William C. Harrison, *The Law, Policy, and Politics of Gillnet Restrictions in the State Waters of the Gulf of Mexico*, 9 ST. THOMAS LAW REVIEW 389-417 (Winter 1997) cited by the Louisiana Supreme Court in *Louisiana Seafood Management Council v. Louisiana Wildlife and Fisheries Commission*, 715 So.2d 387 at 395 (La. 1998).

3) Analysis in John A. Duff, *Offshore Management Considerations: Law and Policy Questions Related to Fish, Oil and Wind*, 31 B.C. ENV'L AFF. L. REV. 385-402 (2004) was solicited as testimony during the Joint Hearing of the Subcommittee on Fisheries, Wildlife and Oceans and the Subcommittee on Energy and Mineral Resources Committee on Natural Resources U.S. House of Representatives on Renewable Energy Opportunities and Issues on the Outer Continental Shelf (April 24, 2007).

STEVEN A. GRAY

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University of Massachusetts at Boston
Boston, MA 02125

ph (646) 915-2915
email: steven.gray@umb.edu

EXPERTISE

Dr. Gray is a social scientist with expertise in modeling social-ecological interactions. He brings to this interdisciplinary team expertise in statistical modeling of human-environment interactions, and survey design and analysis.

PROFESSIONAL PREPARATION

| | | |
|-------------------------------|-----------------------|----------|
| Rutgers University | Ecology and Evolution | PhD 2010 |
| Texas State University | Geography | MS 2006 |
| University of Texas at Austin | Anthropology | BA 2002 |

PROFESSIONAL APPOINTMENTS

| | |
|--|---------------|
| University of Massachusetts, Boston, Assistant Professor | 2013-present |
| University of Hawaii, Assistant Professor | 2011- 2013 |
| IGB Institute of Freshwater Ecology (Berlin), Visiting Scientist | 2011- present |
| Rutgers University/Cary Institute of Ecosystem Studies, Postdoc | 2010-2011 |

RECENT AND RELEVANT PUBLICATIONS

- Gray, S.A.,** S.R. Gray, L. Cox and S. Henly-Shepard. 2013. Mental modeler: A fuzzy-logic cognitive mapping modeling tool for adaptive environmental management. *Proceedings of the 46th International Conference on Complex Systems*. 963-973.
- Barnes-Mauthe, M., S. Arita, S. D. Allen, **S. A. Gray** and P. Leung. 2013. The influence of ethnic diversity on social network structure in a common-pool resource system: Implications for collaborative management. *Ecology and Society* 18 (1): 23.
- Gray, S.A.,** R. Shwom and R. C. Jordan. 2012. Understanding factors that influence stakeholder trust of natural resource science and institutions. *Environmental Management* 49: 663-674.
- Gray, S.A.,** A. Chan, D. Clark, and R.C. Jordan. 2012. Modeling the integration of stakeholder knowledge in social-ecological system decision-making: Benefits and limitations to knowledge diversity. *Ecological Modeling* 229: 88-96
- Gray, S.J., A. Gagnon, **S.A. Gray**, C. Mahony, D. Muir, M. Falaleeva and R. Gault. 2014. Are local coastal managers detecting the problem? Assessing stakeholder perception of climate vulnerability using Fuzzy Cognitive Mapping (in press) *Ocean and Coastal Management*.
- Nayaki, A., **S.A., Gray**, C. Lepczyk, J. Skibins and D. Rentsch. 2014 Understanding the hidden drivers and local-scale dynamics of the bushmeat trade through participatory modeling (in press) *Conservation Biology*.
- Gray, S.A.,** S.J. Gray, and E. Zanre. 2014. Fuzzy Cognitive Maps as representations of mental models and group beliefs: theoretical and technical issues. In *Fuzzy Cognitive maps for Applied Sciences and Engineering –From fundamentals to extensions and learning algorithms* Ed: Elpiniki I. Papageorgiou. Springer Publishing. pp 29-48.
- Palarama, L., J. Manderson, J. Kohut, M. Oliver, **S.A. Gray**, and J. Goff. 2012. Improving

habitat models by incorporating pelagic measurements by coastal ocean observatories. *Marine Ecology Progress Series* 447: 15-30.

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Gray, S.A., S.J. Gray, S., B. O'Dwyer, A. Nyaki, and R.C. Jordan. Using Fuzzy-Logic Cognitive Mapping as a participatory approach to measure resilience, change, and preferred states of social-ecological systems (in press) *Ecology and Society*.

Active Related Grants (PI or Co-PI)

| | |
|--|-------------|
| 2013-2014 USGS: Coupling watershed and ecosystem service models Hawaii (PI) | \$28,000 |
| 2012-2016 NSF Developing software for community-based mgt. (co-PI) | \$1,206,384 |
| 2012-2014 USDA, A software tool to support community-based decision-making (PI) | \$40,000 |
| 2011-2013 NOAA Evaluation of broad and fine scale models of butterfish biomass applied to by-catch reduction (co-PI) | \$249,999 |

SYNERGISTIC ACTIVITIES

Developing Participatory Modeling Software using FCM

This interdisciplinary project seeks to develop participatory modeling software for environmental decision-making utilizing fuzzy-logic cognitive mapping and applied in coastal management contexts in Ireland and Hawaii. (funding NSF and USDA)

Participatory Modeling of Watershed-based Ecosystem Services

This project links climate change scenarios and with participatory modeling in communities on the island of Kauai to better understand how different communities which utilize ecosystem services from a watershed may be impacted by climate change projections (funding USGS)

Integrating Stakeholder Knowledge to Reduce By-catch in Marine Fisheries

This project seeks to use stakeholder knowledge to model commercial fish species ecology through a range of participatory modeling frameworks and workshops. (funding NOAA)

Thesis Advisor and Postgraduate-Scholar Sponsor. Postdoc Advisees (0)

Graduate Advisees (3 current; 2 past): Mary Younkin (UHawaii), Angela Nyaki, (UHawaii) Noelani Puniwai (UHawaii) Jackie Halbrendt (UHawaii); Molly Miller (UHawaii)

Undergraduate Advisees (6 past): Nate Hunter (UHawaii), Anthea Fernandez (UHawaii), Derek Coleman (UHawaii), Samantha Pasawaek (Rutgers), Alex Chan (Rutgers), Dan Clark (Rutgers)

KRISTIN UITERWYK
Urban Harbors Institute, University of Massachusetts Boston
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EDUCATION

Master of Arts in Marine Affairs 2005, University of Rhode Island
URI Foundation Grant for thesis research
Bachelor of Arts 2000, Boston College
Major: Human Development; Minors: Environmental Studies, Sociology

PROFESSIONAL EXPERIENCE

Sept 2005-Present Research Associate, Urban Harbors Institute, Boston, MA

Provide research and consulting services relating to coastal management, environmental resources, land-use regulations, harbor management, ocean education, and stakeholder engagement. Some current and recent projects include:

- Gloucester Groundfish Port Recovery and Revitalization Plan
- Resource Inventory for the Massachusetts Bays Program
- Marshfield Harbor Plan
- Conservation Mooring Study
- Nantucket Shellfish Management Plan
- Feasibility Study for the Ocean Campus Center
- Local Waterfront Protection Plan for the Town of Southampton, NY
- Boston Harbor Digital Coastal Habitat Atlas
- Identification of OCS Renewable Energy Space-Use Conflicts and Analysis of Potential Mitigation Measures
- Center for Ocean Science Education Excellence Ocean - Communities in Education and Social Networks (COSEE OCEAN)
- Regional Indicator Conference 2011
- Planning Framework Options for Integrated Multi-Use Management in Massachusetts
- Regional Open Space Plan for the Plymouth-Carver Sole Source Aquifer
- Nantucket and Madaket Harbors Management Plan

| | |
|-------------------------|--|
| June, 2004-Dec 2005 | Part-Time Educator Mystic Aquarium and Institute for Exploration, Mystic, CT |
| June, 2005-Sept 2005 | Research Consultant Citizens for a Better Solution Task Force, Stonington, CT |
| August 2003-August 2005 | Research Assistant University of Rhode Island, Kingston, RI |
| April 2002-August 2003 | Project and Administration Director Charles River Conservancy, Newton, MA |

PUBLICATIONS

Uiterwyk, K., Novelly, A. (2013). *Conservation Mooring Study*. A report prepared for the Massachusetts Bays Program and the Nature Conservancy.

Wiggin, J., Uiterwyk, K., Novelly, A. (2013). *Feasibility Study for the Ocean Campus Center*. A report prepared for The Marine and Environmental Education Alliance.

Uiterwyk, K., Wiggin, J., Leavitt, D., Bliven, S., Novelly, A., Hellin, D. (2012). *Nantucket Shellfish Management Plan*. A plan prepared for the Town of Nantucket, MA.

Uiterwyk, K. (2011). *Ecosystem Health Indicators Conference Boston, MA March 30-31, 2011: Summary and Next Steps*. A report prepared for the Massachusetts Ocean Partnership.

Wiggin, J., Uiterwyk, K. (2011). *The Development, Implementation, and Communication of Indicators and the Associated Challenges and Lessons Learned: A summary of nine interviews in support of the regional indicators workshop*. A report prepared for the Massachusetts Ocean Partnership.

Wiggin, J., Uiterwyk, K., Bliven, S., Hellin, D., Duff, J., Courtney, F., Delaney, R., Hughes, P., Morin Dalton, T., Moura, S., Nappoli, N., Starbuck, K. (2009). *Compatibility Determination: Considerations for siting coastal and ocean uses*. A report prepared for the Massachusetts Ocean Partnership.

Hellin, D., Uiterwyk, K., Walton, S., Morrissey, P., Wood, J. (2008). *An Application for a State Designated, Federally Approved, No Discharge Area for Boston Harbor*. Prepared in partnership with the City of Boston's Environment Department, the City of Quincy's Harbormaster and the Charles River Watershed Association on behalf of the cities and towns surrounding Boston Harbor.

Uiterwyk, K., Wiggin, J. (2008). *Plymouth-Carver Sole Source Aquifer Regional Open Space Plan*. A report prepared for the Executive Office of Environmental Affairs.

Uiterwyk, K., Leigh, D. (2008). *People, Pounds, Miles 2008*. A report prepared for the Ocean Conservancy.

Wiggin, J., Hellin, D. and Mallek, K. (2007). *Revised Nantucket & Madaket Harbors Action Plan*. A report prepared on behalf of the Urban Harbors Institute.

Uiterwyk, K., Leigh, D. (2007). *People, Pounds, Miles 2007*. A report prepared for the Ocean Conservancy.

Mallek, K., Hellin, D., Bordner, D., Warbach, J. (2006). *Training Manual for the Florida Boating Access Facility Inventory*.

Mallek, K., Westhaver, P. (2006). *People, Pounds, Miles 2006*. A report prepared for the Ocean Conservancy.

SYNERGISTIC ACTIVITIES

Management Committee Member -- Massachusetts Bay Program (2009-present)

Secretary, Board of Directors – Weir River Watershed Association (2012-present)

ALLISON NOVELLY
MARINE ENVIRONMENTAL LAW AND NATURAL RESOURCES LAW SPECIALIST
URBAN HARBORS INSTITUTE, UNIVERSITY OF MASSACHUSETTS BOSTON
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BAR MEMBERSHIP

State of Connecticut, 2010
Commonwealth of Massachusetts, 2010

EDUCATION

Juris Doctor, 2010, Roger Williams University School of Law
Master of Marine Affairs, 2010, University of Rhode Island
Bachelor of Arts, 2005, Georgetown University
Major: Psychology; Minor: Biology

PROFESSIONAL EXPERIENCE

RESEARCH ANALYST, URBAN HARBORS INSTITUTE, BOSTON, MA *January 2012-Present*

Provide research and consulting services relating to environmental, ocean, and coastal law, marine policy, coastal management, natural resources, ocean planning, land-use regulations, and harbor management. Selected current and recent projects include:

Gloucester Groundfish Port Recovery and Revitalization Plan
Strategic Plan for the Ports of Massachusetts
Resource Inventory for the Massachusetts Bays Program
Marshfield Harbor Plan
Evaluation of the Ecological, Functional and Economic Aspects of Conservation Moorings
Sustainable Working Waterfronts Toolkit
Feasibility Study for Ocean Campus Center
Identification of OCS Renewable Energy Space-Use Conflicts and Analysis of Potential Mitigation Measures
Nantucket Shellfish Management Plan
Local Waterfront Protection Plan for the Town of Southampton, NY
COASTSWEEP

LEGAL CONSULTANT, NEUROPSYCHOLOGICAL ASSOC. OF GREATER CT, BRANFORD, CT *March 2011-December 2011*

SEA GRANT LAW FELLOW, MARINE AFFAIRS INSTITUTE, BRISTOL, RI *January 2010-June 2010*

ENVIRONMENTAL LAW & POLICY FELLOW, COASTAL STATES ORGANIZATION, WASHINGTON, D.C. *June-August 2009*

LEGAL INTERN, SAVE THE BAY, PROVIDENCE, RI *June 2008-August 2008*

LEGAL INTERN, AQUIDNECK LAND TRUST, MIDDLETOWN, RI *June 2008-August 2008*

Related Experience

Ecosystem Health Indicators Study and Conference (2010-2011)

In preparation for the 2011 Ecosystem Health Indicators Conference, hosted by the Communication Partnership for Science and the Sea (COMPASS) and the Massachusetts Ocean Partnership (MOP), MOP contracted with UHI to conduct interviews with nine indicator programs to develop a conference to best meet the needs of the indicator programs. This conference responded to a need identified by regional indicator programs to convene and share the details of their programs and discuss potential ways to work together, specifically in the areas of indicator measurement, data acquisition, and communications. It also responded to one of the action items from the 2010-2012 Work Plan of the Northeast Regional Ocean Council (NROC) Ocean and Coastal Ecosystem Health Committee.

UHI selected and interviewed program staff to obtain a representation of the different ways that indicators are used, including: (1) to track the progress of and/or to inform management efforts; (2) to track the state of the environment; and/or (3) to track a specific sector of the environment or of management. Additionally, the programs represented indicator efforts at various stages of development, and program selection was heavily weighted to include programs in the region extending from Long Island Sound to the Gulf of Maine/Bay of Fundy. The team also interviewed a few well-established programs from outside the workshop region, envisioning that they might have valuable insight on indicator measurement, data acquisition, and/or communications. The interviewed programs include:

Gulf of Maine Council Ecosystem Indicator Partnership (ESIP), State of the Lakes Ecosystem Conferences, Massachusetts Ocean Management Plan (Coastal Zone Management), Surfrider Foundation State of the Beach, Chesapeake Bay Program, Coalition for Buzzards Bay, Piscataqua Region Estuaries Partnership (PREP), Long Island Sound Study, and the Narragansett Bay National Estuary Program.

This project is relevant to the tasks outlined in the RFP to support the identification of options to enhance inter-agency coordination, public input, and the use of data in decision making in the following ways:

- 1. Conference development and support:** UHI clearly demonstrated that it can successfully conduct research to guide the development of a conference/public meeting; present information and facilitate break-out groups; take notes; and write a report summarizing the conference and its outcomes.
- 2. Targeted interviews and synthesis of information:** UHI skillfully conducted a review of indicator programs in the northeast and led in-depth interviews of a representative sample of programs to obtain information on a key set of indicator attributes and experiences. The results of the nine interviews were synthesized in a report addressing the challenges presented by the use of indicators, and identifying needs of indicator programs, highlighting UHI's capabilities of conducting meaningful meetings and synthesizing the findings in a useful way.
- 3. Network of Programs:** Through this project, UHI gained an in-depth understanding of indicator programs in the northeast and developed contacts at each program, some of whom might be appropriate to interview for this project.

Contact Stephanie Moura. 617 737-2600 x101. smoura@seaplan.org

Identification of Outer Continental Shelf (OCS) Renewable Energy Space-Use Conflicts and Analysis of Potential Mitigation Measures (2009-2011)

The Bureau of Ocean Energy Management (BOEM) (formerly the Minerals Management Service (MMS)) hired UHI as part of a multi-disciplinary team (led by Industrial Economics, Inc.) to identify space-use conflicts between renewable energy development and current and potential new uses (specifically commercial fishing and navigation) in coastal and offshore waters and the Outer Continental Shelf of the Atlantic and Pacific Oceans.

UHI was tasked with contributing to a literature review of resources pertaining to offshore development and potential space-use conflicts, focusing on recreational and commercial fishing, shipping and navigation, and other commercial and recreational uses. This literature review built on UHI's prior work on space-use conflicts conducted for the Massachusetts Ocean Management Plan.

UHI also conducted many interviews with members of the shipping community and recreational boating community to identify potential impacts and avoidance/mitigation strategies in strategic parts of the country. This information was synthesized for a report to the BOEM.

As part of this work, UHI also identified possible avoidance strategies and mitigation measures to offset the impacts of offshore renewable energy development, drawing from examples of mitigation measures and avoidance strategies employed for offshore oil and gas extraction and sand and gravel mining. This included an examination of the source of authority to implement the mitigation and avoidance strategies.

The result of this work is a document intended to serve as a desktop resource that BOEM can use to inform its decision making as the agency carries out its statutory and regulatory responsibilities

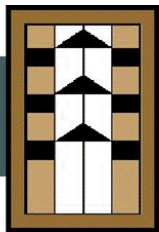
This project is relevant to the tasks outlined in the RFP to support the identification of options to enhance inter-agency coordination, public input, and the use of data in decision making in the following ways:

1. **Targeted interviews and synthesis of information:** UHI conducted interviews with members of the shipping industry and recreational boating communities to understand their uses of the OCS, and to solicit their input on acceptable mitigation and avoidance strategies. This process required UHI to identify and reach out to appropriate members of each user-group, and demonstrates UHI's capabilities to conduct meaningful interviews.
2. **Knowledge of offshore ocean uses:** Building on the space-use conflicts work UHI conducted for the Massachusetts Ocean Management Plan, UHI further developed its knowledge of ocean uses, and their potential conflicts and compatibilities with other ocean uses. Additionally, as part of the research to identify the authorities for implementing avoidance strategies and mitigation measures, UHI developed a thorough knowledge of the various regulatory bodies involved in the siting of offshore energy developments.

Funded by the USDOT, Bureau of Ocean Energy Management.

Identification of Options to Enhance Inter-Agency Coordination, Public Input, and the use of Data in Decision Making

Proposal to the Northeast Regional Ocean Council



THE CLARK GROUP, LLC

January 27

2014



***TO SUPPORT THE IDENTIFICATION OF OPTIONS TO ENHANCE INTER-AGENCY COORDINATION,
PUBLIC INPUT, AND THE USE OF DATA IN DECISION MAKING***

January 27, 2014

John Weber
Ocean Planning Director
Northeast Regional Ocean Council
Sent electronically to Proposal@northeastoceancouncil.org

RE: Support the Identification of Options to Enhance Inter-Agency Coordination, Public Input, and the use of Data in Decision Making

Dear Mr. Weber,

The Clark Group, LLC, a woman-owned small business, is pleased to submit this response to the request for inter-agency coordination, public input and research support for regional ocean planning in New England.

The Clark Group has over a decade of experience developing and supporting strategies aimed at improving decision-making for environmental issues. We understand and believe that environmental protection and multi-use development can be compatible goals. Our key personnel, having worked for FEMA, Department of Veterans Affairs, ECHO Lake Aquarium and Science Center, CEQ, The Nature Conservancy, among many others are experts at facilitating public outreach programs as well as coordinating federal and non-governmental agencies based on our strong research background and in-depth understanding of environmental policy and NEPA regulations. This experience together with our experience working with marine stewardship and ocean planning uniquely qualifies us to support NROC in this endeavor.

I have attached our **Response to the RFP**, with resumes, to this cover letter. We appreciate the opportunity to submit this proposal. If you have any questions about our responses, please contact me at lisamahoney@clarkgroupllc.com or 802-225-5945.

Sincerely,

A handwritten signature in dark ink, appearing to read "Lisa Mahoney", with a large, stylized loop at the end.

Lisa Mahoney
President of The Clark Group



***TO SUPPORT THE IDENTIFICATION OF OPTIONS TO ENHANCE INTER-AGENCY COORDINATION,
PUBLIC INPUT, AND THE USE OF DATA IN DECISION MAKING***
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Introduction

Stewardship of the ocean and its resources is a complex process requiring the cooperation of numerous stakeholders including 27 different federal agencies that currently have ocean management responsibilities. The complexity involved in the management of our ocean and coastal resources has often resulted in poor oversight and implementation of existing policies and ineffective decision-making. Environmental laws such as the Coastal Zone Management Act (CZMA), Magnuson-Stevens Act (MSA), Endangered Species Act (ESA), and the Outer Continental Shelf Lands Act (OCSLA), have different agency (both federal and state) authorities, timing, and process requirements, creating a coordination challenge to conducting ecosystem-based management of ocean resources. The federal agencies charged with implementing these statutes have different oversight authorities, contributing to the current sector-based approach to managing ocean resources. Yet scientific research has shown the interdependence of land, water, and other resources is critical for human health and environmental quality, sparking the debate for a multi-sector approach to ocean management.

In 2010, Executive Order 13547 *Stewardship of the Ocean, Our Coasts, and the Great Lakes* authorized development of a comprehensive ocean policy and supported transparent decision-making through a coastal and marine spatial planning (CMSP) framework through the establishment of Regional Planning Bodies (RPBs). EO 13547 came about in recognition of the disparate laws regulating the use of ocean and coastal resources and a desire to build one common framework to better manage ocean and coastal activities such as renewable energy infrastructure for new technologies including offshore wind and wave energy and uses such as sand and gravel extraction and aquaculture. This policy could help to solve the process challenges inherent in the current system, but development of the framework is still underway and the highly segmented ocean management system has been slow to respond to the new approach

The Northeast Regional Ocean Council (NROC) is well positioned to implement solutions to the most pressing ocean and coastal issues facing New England that require a regional response. NROC's Regional Planning Body (RPB) has set a goal of "Effective Decision Making" to enhance management effectiveness, intergovernmental decision-making, engagement, collaboration, and integration of the best



***TO SUPPORT THE IDENTIFICATION OF OPTIONS TO ENHANCE INTER-AGENCY COORDINATION,
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available knowledge. To support these efforts, NROC is seeking a highly skilled team to provide support and expertise to the RPB to identify options for enhancing inter-agency coordination, public input, and the use of data tools in existing regulatory processes as part of ocean planning activities in New England.

Executive Summary

Located in Montpelier, VT and Washington, D.C., The Clark Group, LLC (TCG) is a value-driven environmental consulting company with over a decade of experience working with NEPA and other environmental regulations to support more effective decision-making within Federal, State and local agencies and their private sector counterparts. Our team provides unique expertise in inter-agency coordination for environmental reviews and regulatory processes, stakeholder engagement, and the effective use of data in environmental decision-making through years of experience. TCG is well suited to assist NROC in achieving its goals. Our approach to accomplishing the tasks in the RFP is to offer an efficient centralized team consisting of a strong and experienced Senior Project Manager with exceptional support from a Team consisting of an Assistant Project Manager, Senior Regulatory and Policy Expert, Research Manager, Quality Control support as well as administrative and logistics support. As both government managers and consultants, TCG staff have had repeated success in helping agencies utilize the National Environmental Policy Act (NEPA) as the integrating framework to make effective decisions about ocean resources and will leverage this understanding and experience with NEPA as one of the foundations for our work on behalf of NROC. Additionally, we will leverage our previous work on marine stewardship and ocean planning, our network of contacts, and our existing stakeholder engagement strategies and logistics expertise for cost savings and efficient results.

Projects managed by TCG have resulted in considerable improvements in environmental policy and implementation, including 1) improved decision-making; 2) increased efficiency in environmental regulatory processes; and 3) improved quality of environmental reviews. For NROC, we will apply our experience to produce efficient and effective communications and engagement support and development of outcome specific summaries and reports aimed at improving decision-making for regional ocean planning. We understand how to facilitate outreach programs and how to effect meaningful interagency coordination through our experience supporting Federal agencies, such as EPA, and our experience facilitating nonprofits to bring diverse interest groups to build common solutions (ECHO). We have particular experience supporting the implementation of EO 13547 on behalf of TNC, for whom we developed strategies to improve Agency collaboration and data sharing using existing regulatory frameworks to improve decision-making around ocean and coastal activities.

Work Plan

The TCG Team includes former government staff with direct experience as employees and managers in agencies such as the White House Council on Environmental Quality (CEQ) and with experience providing recommendations and briefings to The National Ocean Council and agencies such as the Bureau of Ocean Energy Management (BOEM), NOAA, and the U.S. Navy to advance marine stewardship. We routinely work with clients to utilize inter-agency collaboration and data tools to effectuate decision-making through using the best knowledge available. Our team has supported inter-agency collaboration and improved use of data for federal government clients, such as NOAA, CEQ, and the U.S. Department of Agriculture (USDA), and non-federal clients, such as the ECHO Lake Aquarium and Science Center and The Nature Conservancy.

TCG is committed to providing NROC with high-quality services in a timely and cost-effective manner. Our team has managed complex, national-level federal government and private sector contracts specifically related to research, stakeholder engagement, and development of outcome-specific summaries and reports for clients such as the Environmental Protection Agency's (EPA) Energy Star program. To manage these types of contracts, we have adopted a Quality Control Plan (QCP) that ensures that our

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work meets the highest standards. We have used our QCP to manage and execute numerous contracts, including contracts with The Nature Conservancy, EPA, and NOAA. TCG has long-standing relationships with our clients and we have received exceptional ratings and feedback on the quality and timeliness of our work. The QCP governs the management of TCG personnel and guarantees that:

- Project tasks and phases are executed in line with the demands of the RFP and needs of the contract manager.
- QCP practices and procedures are implemented throughout the project lifecycle.
- Corrective actions are taken to ensure that tasks stay in compliance and on-schedule.
- Continuous quality improvement is applied to work processes and deliverables ensuring a high level of professional quality and technical accuracy.

To implement the QCP, TCG has designated Lisa Mahoney as the Senior Project Manager and Debi Rogers as the QC Manager for this initiative (see Team Structure and Qualifications). The QC Manager is ultimately responsible for establishing and maintaining the quality control process, including reporting any problems encountered to the Senior Project Manager and using the QCP to overcome obstacles to achieving task and/or project success.

Our team has the capability and capacity to quickly and effectively provide personnel that are trained and educated about NROC's mission and understand the needs and challenges facing NROC over the life of the contract.

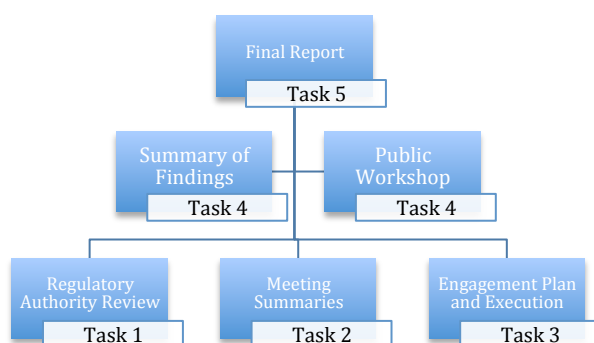
As part of our work plan, TCG will provide NROC with the following:

- Monthly progress reports and invoices
- Meeting summaries of decisions made, action steps to be taken, responsible parties, and associated dates
- Monthly updates regarding problems encountered and proposed resolutions.

Project Planning and Integration

Our unique experience developing and supporting strategies tailored to improving decision-making for environmental issues has positioned TCG to be able to synthesize and summarize data for NROC quickly. Within a year's timeline, TCG has assisted the Unified Federal Review Steering Group to coordinate the efforts of 19 different Federal Agencies and their staff to identify barriers to effective decision-making and inter-agency coordination during the environmental review process for disaster recovery projects. Additionally, TCG has assisted in the development of tools, guidance, and implementation plans to aid in coordinated and efficient inter-agency efforts. In order to accomplish this feat within a year, TCG has drawn on our ability to coordinate plans and deliverables early as building blocks for a larger effort. The majority of deliverables in the UFR effort are tools paired with guidance to assist EHP professionals in inter-agency coordination of EHP reviews. For example, a template inter-agency MOU paired with a guidance providing instructions to the user on how to tailor the MOU for specific disasters. Our QCP protocol was utilized to assist in deliverable and task consistency and integration. This strategy benefited our client because it has created comprehensive results efficiently.

Like we have with the UFR, TCG will coordinate NROC's tasks and deliverables as building blocks in accomplishing the progressive tasks and their respective deliverables in order to create efficient and meaningful results (see figure). Tasks 1-3 will be organized and designed to create Task 4's Summary of Findings and Public Workshop. The Summary of Findings will be tailored for seamless integration into the Final Report. This structure will require goals and objectives to be determined early in the contract and for Tasks 1-3 to be tracked and





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coordinated along parallel timelines. This holistic approach will create efficient and comprehensive results.

Early project management and coordination requires high-level planning capabilities, as well as in depth knowledge and experience working with environmental and ocean planning policy frameworks and their respective governmental and private stakeholders. Our Senior Project Manager, Senior Regulatory and Policy Expert, and Assistant Project Manager will perform this early planning. Acknowledging that this type of planning requires flexibility and the need to integrate changes, our QCP will be utilized to monitor and plan throughout the contract on how to efficiently and effectively utilize all the information we have received.

Task 1: Review existing research on regulatory authorities

TCG is comprised of environmental law and regulatory experts who have significant experience working with federal and state regulatory and environmental review authorities related to different types of ocean development activities. TCG has routinely conducted similar assessments and reviews of State and Federal Agency authorities to support effective decision-making in ocean and coastal activities for previous projects. Previously, TCG worked with The Nature Conservancy (TNC) to identify and review Federal Agencies' authorities and data resources for ocean management. These authorities and resources were used to assist in development of a model for an integrated and transparent framework for ocean management. Following the development of the recommendations report, TCG mapped the regulatory requirements for the Smart from the Start Program and offshore energy development and provided recommendations on how to simplify and improve the decisions resulting from that process.

TCG will use its previous knowledge and expertise of ocean and coastal laws to perform an efficient review of the legal authorities collected by Roger Williams University (RWU) School of Law. After a comprehensive review, including identifying corrections and gaps in the list of legal authorities, TCG will conduct targeted research to efficiently complete the research. TCG will do this by utilizing NROC's previous work to include the 2013 white papers on energy and aquaculture, as well as government agency and nonprofit tools and databases such as the National Ocean Council's legal compendium. We will also use the list of authorities and data sources that we compiled in preparing our reports "Advancing Marine Stewardship in Federal Agencies" and "Smart from the Start: Map of NEPA and Environmental Requirements" to inform our gap analysis. At the conclusion of Task 1, TCG will have analyzed the authorities available through the RWU draft and incorporated our own research. This information will be used to generate a draft overview of authorities to be submitted to NROC for review and comment within two weeks of the contract start. Within our overview, we will highlight the key legal authorities that typically assist agency decision-making, such as the National Environmental Policy Act. TCG will respond to comments and submit an electronic final draft to NROC within the first month of the contract.

Task 2: Support and document discussions with regulatory and environmental review agency staff in the region.

As seasoned practitioners in NEPA, we emphasize inter-agency collaboration and the use of online data tools in all of our projects. We have conducted meetings with State, Federal, and Tribal Agency (hereinafter, "Agencies") staff as part of the inter-agency coordination processes to improve access to and reliability of data in agency decision-making including the development of data standards and data sharing agreements. On behalf of TNC, TCG met with Agencies to assist in the development of an integrated ocean and coastal data and information management system to support research, planning and decision-making. When supporting engagement initiatives with agency staff, TCG takes into account the differing missions, cultures and organizational structures of the Agencies. Our understanding of how Agencies function taken from our experience as both government staff and government consultants makes



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our engagement support more effective by ensuring that our communications and materials are designed in a manner that will solicit the most relevant and helpful information from the agency participants.

TCG will use its expertise in Agency engagement to support and document discussions with Agencies and staff to best inform NROC's goals of effective decision-making. We will collaborate with NROC to develop agendas to ensure in-depth discussion of the information needs and the issues of concern specifically related to NROC's goal of effective decision-making and concerns of:

- Understanding current implementation practices of environmental regulations, including NEPA, in the Northeast.
- Identifying ways that regional data tools could be developed and/or utilized to expedite and assist in regulatory compliance.
- Identifying opportunities to improve inter-agency coordination during environmental regulatory compliance

With these objectives in mind, we will work with NROC to strategize the specific focus of each meeting and the specific input that NROC hopes to gain from each participant. While recognizing the need for each meeting to have a specific focus, we will also have a list of key messages that we will standardize and communicate to all stakeholders to ensure consistency. We have used this process with numerous clients such as the EPA and the Department of Veterans Affairs to help ensure that stakeholder engagement meetings are targeted, concise and achieve the stated objectives within the time allotted. Once the focus and specific objectives are designed, we will prepare and provide clear, concise agendas and materials prior to all meetings. Input from NROC will be solicited and revisions made in advance of the meeting dates. Meeting summaries will be developed with the goal of synthesizing meeting discussions to clearly identify topics needing further discussion, potential obstacles and proposed resolutions, and inform the best options to assist in enhancing effective intergovernmental decision making for the RPB. Further, as mentioned above, the content and structure of the meeting summaries will be designed as building blocks to Task 4's summaries and Task 5's Final Report.

This task will culminate in at least one joint meeting with all of the consulted Agencies organized and assembled by TCG. In coordination with the Regulatory Work Group, the meeting will be scheduled as far in advance as possible to maximize attendance. TCG will use our technical expertise to provide audio-visual resources, such as handouts, presentations, and technological equipment to present and summarize the individual meetings. TCG will use its expertise in Agency engagement to help NROC identify the desired format of the meeting that will best inform NROC's goals of effective decision-making in regional ocean planning efforts. In addition to traditional meetings, other methods of gathering information and encouraging discussion include question and answers, listening sessions, electronic surveys and phone interviews. Similar to the individual meetings, TCG will coordinate with NROC to finalize an agenda and meeting materials. TCG will utilize our experience assisting Agencies in intergovernmental collaborations and developing NEPA regulations, in which we frequently facilitate meetings to resolve regulatory and policy issues, to help refine issues and information in preparation for joint meeting discussions. Finally, for all workshops, TCG will prepare meeting notes and summaries aimed at identifying opportunities to enhance effective decision making in NROC's ocean planning process.

Task 3: Support engagement of non-governmental regulatory professionals

Successful engagement of regulatory professionals requires a thorough understanding of both environmental

In addition to our government contacts that will be leveraged in Task 2, TCG Contacts include:

- The Nature Conservancy
- New England Aquarium
- Conservation Law Foundation
- Pew Center for Environment

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and non-environmental concerns, and the active solicitation and engagement of interested professionals to the process. TCG has the contacts, experience, knowledge and skill sets to actively engage a diversity of regulatory professionals on behalf of NROC, with specific experience managing engagement of professionals involved in the environmental review process within the Northeast. Our implementation of engagement strategies is effective because we understand the environmental requirements and policy frameworks that apply and the complications that can arise when reviews and permitting are coordinated ineffectively. Our Team recently developed and coordinated the 2013 Leahy Center Environmental Summit: *Blue Water in Green Mountains* in Vermont (Summit). The Summit engaged thought leaders from the Northeast to discuss local and regional environmental issues and identify pathways to a more sustainable future for the Lake Champlain watershed. Participants represented a variety of interest groups, including businesses, communities, education centers, local and state governments, and advocacy organizations. On behalf of ECHO, TCG interviewed stakeholders to identify key issues and topic areas for further discussion; we then provided logistical support and strategic planning services to develop the Summit, including development of invitations, solicitation of speakers, development of the topical focus and agenda, and development and publication of Summit materials. During the Summit, TCG facilitated group discussions and provided logistical management services. This experience has equipped us to similarly engage professional stakeholders on behalf of NROC.

We recognize that success will depend largely on buy in and engagement by a diversity of industry and nonprofit professional stakeholders and must reflect their range of perspectives to gather the best available knowledge. First, TCG in coordination with NROC will develop a list of desired stakeholder categories and set a goal to engage at least 2 professionals in each category. This objective dictates that we will hold approximately 12-15 meetings or calls with stakeholders. We will use our personal network and NROC's network of engagement partners and supplement these contacts with those identified by the Agencies in Task 2 and use regional organizations such as the Environmental Business Council of New England to help fill in any gaps. Specifically, TCG will develop focused meetings within our network and examine existing NROC engagement activities to identify specific opportunities for NROC to engage further through their existing practices to assist in referrals and effective engagement.



Twelve to fifteen engagement opportunities will be scheduled as far in advance as possible to maximize participation. To increase efficiency and reduce costs, TCG will rely primarily on conference calls for these meetings. Whenever possible however, TCG will schedule in-person meetings with these stakeholders on the same day as the in-person meetings contemplated in Task 2. TCG will schedule meeting locations and set up conference lines with a preference to what is most convenient to the stakeholders. To supplement these one on one conversations, TCG will prepare a

questionnaire that can be distributed to a larger number of stakeholders and supplement the information gleaned from the individual meetings. TCG will prepare for engagement opportunities through creating interview questions and meeting materials in collaboration with NROC. Additionally, TCG will take notes and summarize each engagement. These summaries will be utilized in the development of Task 4.

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Task 4: Summarize findings of Tasks 1-3 and prepare materials in support of a public workshop

Our firm has completed numerous outcome-specific summaries and reports for our clients. TCG worked on behalf of CEQ to engage stakeholders in a series of discussions on how to modernize NEPA. TCG managed the pre-workshop development, strategic planning, and logistics support for four regional roundtables across the U.S. From the results of these roundtables, TCG assisted in identifying outcomes and options to modernize NEPA and thereby improve agency decision-making. As part of this, TCG wrote “The Citizen’s Guide to NEPA” on behalf of the White House - a user-friendly manual that explained complex environmental analysis and legal requirements in a straightforward format easily accessible to the public. Additionally, TCG has developed findings and options papers to improve Agency decision making in managing ocean and coastal Resources following outreach to agency representatives at NOAA, the Navy and BOEM as part of our previous work with TNC. This experience has prepared us to develop similar summaries of findings and options for NROC in this task.

TCG will utilize its expertise in inter-agency collaborations, regional data products, and public engagement to develop a Summary of Findings for Task 1-3. The summaries and data from Tasks 2 and 3 will be used to generate approaches and options to facilitate effective decision-making throughout the ocean-planning processes. TCG will then incorporate these options, including case studies captured from meeting discussions, in the Summary of Findings. Within the meeting agendas prepared for Task 2, TCG will build in requests for information about real experience and projects that are applicable to this effort. This information will be summarized into case studies for incorporation in the Summary of Findings. The Summary of Findings will be submitted to NROC for comment in preparation for public review two weeks before the Public Workshop. TCG will integrate NROC’s comments and submit a final Summary of Findings to NROC to make available to the public one week before the Public Workshop.

TCG will work with NROC to develop methods for presenting the Summary of Findings in the Public Workshop. The focus of these summaries will be on the use of visual tools such as flowcharts, tables and graphics to maximize understanding and engagement from workshop participants. Results of the Workshop will be documented and summarized to serve as a foundation for the final report in Task 5.

Task 5: Develop Final Report, include options

Our firm has completed numerous reports in the past several years for developing recommendations for utilization of data resources, facilitating inter-agency coordination, and leveraging Agency resources to expedite environmental reviews. Our reports are known for their objectivity and are routinely used to influence decision-making and policy development. For example, TCG is currently drafting a report for Congress describing the results of the UFR effort. The UFR process will guide inter-agency coordination in the implementation of NEPA and other environmental regulations for disaster recovery projects while helping to improve the resiliency of local communities.

TCG routinely helps Agencies consider alternatives to their actions to achieve long-term benefits, proper project planning, and decision-making using the best knowledge available. The Summary of Findings of Task 4 will be written with the intention that the result will be a building block of the Final Report of Task 5, which will expedite the delivery of Task 5. TCG will use the Summary of Findings to develop an outline to share with the RPB for review and comment. Once the outline is agreed upon, we will begin drafting the Final Report. A draft of the Final Report will be delivered to NROC the week of July 18, 2014.

The Final Report will include an Executive Summary that NROC can use to communicate the report’s policy recommendations to various audiences. To the extent practical, we will depict sections of the report in easy-to-understand formats, including tables, charts, and graphics. We also will include a summary of the data from the meetings and workshops in an appendix for reference. The Report will

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summarize the project, results of each task, and explore approaches for optimizing decision-making during environmental and regulatory compliance in ocean planning processes. It will focus on opportunities to maximize inter-agency coordination, regional data tools, and public engagement throughout the decision-making process. Throughout the report, TCG will provide examples and options derived from Task 2 and 3's engagements. An implementation section for effective decision-making based on the summaries and options gathered and developed will be included in the report. The implementation section will contain a high-level overview of necessary steps to achieve implementation.

We will facilitate an internal review and comment process using our standard comment template from the RPB and ocean planning staff to finalize the draft of the Final Report and prepare for release for comment to public stakeholders. We will respond to internal comments as appropriate and discuss any unresolved issues with the final RPB decision maker on this project. Once all internal comments are resolved, we will produce a draft Final Report to be considered for public comment. It is anticipated that this internal comment/response period will take 30 days. TCG has experience conducting public comment periods related to environmental regulations such as nationwide NEPA analyses. As comments are submitted, TCG will begin organizing the comments by issue, consolidating similar comments into critical, important, and editorial comment groupings. In this manner, TCG is able to focus on the comments that may require the most significant revisions first, thereby saving the agency time and resources. After the close of the public comment period, we will summarize the public comments for NROC. We will work with the RPB to identify any major concerns that need to be addressed. The public comment/response period is expected to take 30 days. Once all internal and public comments are resolved, TCG will deliver a paper copy and electronic version for website publishing. The Final Report incorporating revisions based on comments received will be submitted in October 2014.

Project Management Approach and Project Schedule

TCG is experienced at delivering high-quality research and communications products and services in a timely and cost effective manner. To execute the tasks and deliver the products and services outline above, our team proposes the following high-level schedule. The schedule is based on an award date the week of February 14, 2014. It can be adjusted depending on the actual award date of the contract. Following award of the contract, we will prepare a more detailed work plan consistent with Tasks 1 through 5.

| Task | Proposed Deliverable | Proposed Dates (Week of) |
|---|---|---------------------------------|
| Task 1: Review existing research on regulatory authorities | Revisions and additions to RWU regulatory authorities | 02/21/14 |
| | Submit draft to NROC for review | 02/28/14 |
| | Submit finalized draft to NROC | 03/14/14 |
| Task 2: Support and document discussions with regulatory and environmental review agency staff in the region | Meet with NROC | 02/14/14 |
| | 8-10 Federal Agency Meetings | February – May/June 2014 |
| | 5-6 State Agency Meetings | February – May/June 2014 |
| | Develop Meeting Agendas and Materials (13-16) | February – May/June 2014 |
| | Meeting Summaries (13-16) | February – May/June 2014 |
| Task 3: Support engagement of non-governmental regulatory professionals | Meet with NROC | 02/14/14 |
| | Engagement plan first draft | 02/21/14 |
| | Engagement plan final draft | 03/07/14 |
| | Develop engagement Agendas and Materials (12-15) | February – May/June 2014 |
| | Develop Questionnaire | April 2014 |
| | Engagement Meetings & Summaries (12-15) | February – May/June 2014 |



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|--|---|--|
| Task 4: Summarize findings of Tasks 1-3 and prepare materials in support of a public workshop | Submit draft Summary of Findings with case studies to NROC for review and comment | 05/02/2014 |
| | Submit final draft Summary of Findings for public review | 05/23/2014 |
| | Prepare presentation and materials for public workshop | June 2014 (tentative on date of workshop) |
| | Public Workshop | June 2014 |
| | Submit Public Workshop notes and summary | 06/27/2014 |
| Task 5: Develop final report, including options | Submit outline to NROC for review and comment | 06/27/2014 |
| | Submit draft to NROC for review and comment | 08/08/2014 |
| | Submit draft to public for review and comment | 08/29/2014 |
| | Submit final draft | 10/03/2014 |

Detailed Budget

The Clark Group's proposed cost for performing the services requested in the RFP is \$75,861.44. Cost assumptions used in developing the proposed budget include the following:

- *Travel includes up to 10 meetings with federal agencies, 5 state agency meetings, 1 joint meeting, up to 2 trips for in-person stakeholder engagement meetings, and one public workshop. Travel is assumed to be within the Northeast region. The Clark Group has staff in the region; therefore no airfare is anticipated. Travel costs generated were based on mileage estimates between Montpelier, VT and State Capitols in the Northeast Region. Actual travel costs may vary depending on the timing and location of the meetings.*
- *Proposed rates are based on The Clark Group's GSA Schedule contract rate where required. The GSA Schedule contract requires TCG to offer GSA the most favored customer rate and therefore TCG must follow its GSA schedule prices in determining proposed rates for proposals outside of the GSA schedule and federal agency contracting requirements.*
- *Printing and other Materials production costs not included because TCG assumes these production services and costs are covered under the other communications support contract and that these services can be leveraged for the production of any meeting materials needed beyond basic handouts. TCG will assume the cost of printing meeting agendas or similar documents. Any handouts required in excess of 50 copies will be assumed to require the support of the communications consultant.*



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Quoter: The Clark Group

Cost Quote

Date of Quote: January 27, 2014

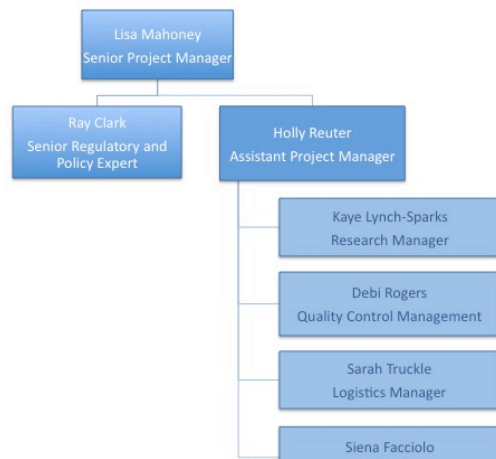
| Public Engagement, Research and Inter-Agency Coordination Support for New England Regional Ocean Planning | | | | | | | | | | |
|--|-----------------------|-------------------|-------------------|--|--|--|--|------------------------------|--------------------------------|---------------------|
| Labor Description | Labor Rates | | | Hour Summary | | | | | Total | |
| | Unburdened Labor Rate | 12% Overhead Rate | Total Hourly Rate | Task 1: Review Existing Research on Regulatory Authorities | Task 2: Support/Document Discussions with Regional Staff | Task 3: Engage Non-governmental Regulatory Professionals | Task 4: Summarize Findings and Prepare Materials for Public Workshop | Task 5: Develop Final Report | Total Hours per Labor Category | Total Amount |
| Project Manager (Lisa) | \$174.10 | \$23.74 | \$197.84 | 15 | 60 | 50 | 20 | 40 | 185 | \$36,600.40 |
| Senior Staff (Ray) | \$174.10 | \$23.74 | \$197.84 | 2 | 0 | 5 | 0 | 5 | 12 | \$2,374.08 |
| Assistant Project Manager (Holly) | \$96.80 | \$13.20 | \$110.00 | 15 | 30 | 25 | 25 | 30 | 125 | \$13,750.00 |
| Quality Control Manager (Debi) | \$127.60 | \$17.40 | \$145.00 | 5 | 3 | 3 | 5 | 15 | 31 | \$4,495.00 |
| Research Analyst (Kaye) | \$64.85 | \$8.84 | \$73.69 | 30 | 0 | 10 | 20 | 20 | 80 | \$5,895.20 |
| Logistics Manager (Sarah) | \$36.96 | \$5.04 | \$42.00 | 0 | 60 | 20 | 20 | 0 | 100 | \$4,200.00 |
| Administrative Support (Siena) | \$25.17 | \$3.43 | \$28.60 | 10 | 30 | 20 | 30 | 20 | 110 | \$3,146.00 |
| Total Hours and Labor Costs | | | | 77 | 183 | 133 | 120 | 130 | | \$70,460.68 |
| Expenses | | | | | | | | | | Total Amount |
| Travel (up to 18 trips) | | | | | | | | | | \$5,400.98 |
| Supplies (e.g., CRM tool, printing costs) | | | | | | | | | | \$0.00 |
| Total Hours and Cost | | | | | | | | 533 | | 75861.664 |

Page 1 of 2

Team Structure and Qualifications

TCG has an experienced team available to execute the scope of services for this project. Our team has decades of experience supporting government Agencies, non-governmental organizations, environmental groups, and businesses to provide the highest quality reports and engagement strategies. Members of our team have developed, managed, and executed programs within several of the federal agencies charged with overseeing ocean and coastal resources, including NOAA and CEQ. Our combined experience will enable us to develop strategies and implement and manage the communications and meeting needs for NROC. Additionally, our unique experience assisting in inter-agency coordination and integrating data tools into environmental regulatory compliance provides us with the ability to synthesize and summarize

findings in an efficient and effective manner. *Detailed resumes for all proposed personnel are included in Appendix A and related experience is included in Appendix B.*





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Appendix A: Detailed Personnel Resumes



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| | |
|---|-------------------------------|
| LISA MAHONEY, ESQ. | Senior Project Manager |
| <p>Education:</p> <p>Vermont Law School Juris Doctor and Master of Studies in Environmental Law</p> <p>Tulane University Bachelor of Science in Ecology</p> <p>Certifications, Professional Licensure, Affiliations, and Awards:</p> <p>Licensed to Practice Law in the State of Vermont</p> <p>Chair, Environmental Policy Committee, National Association of Environmental Professionals</p> <p>Vermont Businesses for Social Responsibility</p> <p>Vermont Environmental Consortium</p> <p>Envision Montpelier- Natural Resources Committee</p> <p>Individual Environmental Achievement Award, Department of Homeland Security, 2005</p> <p>President's Leadership Award, National Association of Environmental Professionals, 2012</p> <p>Speaking Engagements:</p> <p>Selected by the White House Council on Environmental Quality to participate on an expert panel in the discussions and review on the NEPA Task Force Report recommendations on modernizing NEPA.</p> <p>Delivered presentations on environmental impact assessment for both domestic and international audiences including presentations at the International Association of Impact Assessment in Prague, on the state of Strategic Environmental Assessment in the United States and presentations to the Transportation Border Working Group in Calgary.</p> <p>Duke University: Lectured at Duke University's Nicholas School of the Environment "Implementation of NEPA" course.</p> | |
| <p><i>Special Qualifications and Experience:</i></p> <p>President/Director of Governmental Services, The Clark Group, LLC:</p> <p>Department of Veterans Affairs: Project Manager/Author for the rewrite of the VA NEPA Implementing Regulations.</p> <p>U.S. Customs and Border Protection: Programmatic Environmental Assessment for Western Hemisphere Travel Initiative. Technical Analysis/QA Manager charged with reviewing and developing technical approach and compiling and editing analysis.</p> <p>Federal Emergency Management Agency: Project Manager responsible for updating FEMA's NEPA procedures and expanding them to include integration with other environmental laws.</p> <p>Federal Emergency Management Agency: Project Manager responsible for implementing the Sandy Recovery Improvement Act as it relates to the new Unified Federal Review. The Unified Federal Review calls for collaboration across agencies in the wake of natural disasters and an expedited process to environmental reviews.</p> | |



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Tulalip Tribe: Providing assistance with the purchase and restoration of timberland to its natural state to provide improved water quality, carbon sequestration, and cultural sustainability.

The Nature Conservancy: Project manager for recommendations report for how to advance marine stewardship in federal agencies. Following development of the recommendations report, briefed the National Ocean Council, CEQ, and leadership at the Bureau of Ocean and Energy Management on the recommendations. Currently leading an effort to develop a series of pilot projects to test implementation of recommendations.

Environmental Protection Agency: Principal for a \$34 million Blanket Purchase Agreement with the Commercial and Industrial Branch of EPA's ENERGY STAR Program. Overseeing efforts to assist EPA with strategies and recommendations for increasing adoption of ENERGY STAR.

Chief of Planning- Facilities, Department of Homeland Security, US-VISIT Program:

Led the Facilities Planning Branch including oversight and facilities planning for 165 Border Stations around the U.S. Included the analysis and planning for energy usage and air quality emissions at facilities and cost estimating for proposed projects.

Supervisory Protection Specialist, Department of Homeland Security, US-VISIT Program:

Established and managed the first environmental program for a new post 9-11 border security office and led successful preparation of a nationwide programmatic environmental assessment. This complex task required an analysis of the potential for trans-boundary air quality emissions, negotiations with other federal partners, an extensive public outreach campaign and adherence to senior management goals to complete the project in only four months.

Agency Representative, Executive Office of the President, White House Council on Environmental Quality:

Chosen by CEQ to assist with the review of the new Department of Homeland Security NEPA Implementing procedures. Developed recommendations and plans to implement the goals of the 2003 Modernizing NEPA Report.

Environmental Protection Specialist/Facilities, Department of Justice:

Served as the first Environmental Manager for the Eastern Region of the Immigration and Naturalization Service. Responsible for establishing and implementing a comprehensive environmental program for a region covering 25 states. Responsibilities included NEPA, Energy Floodplains and Coastal management, Section 106 consultations, Section 7 Consultations, and Phase 1 Environmental Site Assessments.



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| RAY CLARK | Senior Policy and Regulatory Expert |
|---|--|
| <p>Education:</p> <p>Duke University Master of Environmental Management</p> <p>Jacksonville State University Bachelor of Arts (Special Honors)</p> <p>Certifications, Professional Licensure, Affiliations, and Awards: National Environmental Quality Award Alabama Environmental Quality Association Milestone Achievement Army Scholarship Program Recipient Alabama House of Representatives Distinguished Service</p> <p>Publications: Clark, R. and Canter, L., eds. <i>Environmental Policy</i> (a retrospective and prospective look at the National Environmental Policy Act), St. Lucie Press, Delray Beach, Florida, 1997. Partadario, M. and Clark, R., eds. <i>Perspectives on Strategic Assessment</i>, Lewis Publishers, 1999. “Cumulative Effects Assessment: A Tool for Sustainable Development” in <i>Impact Assessment</i>, vol. 12, no.3, 1994.</p> | |
| <p><i>Special Qualifications and Experience:</i></p> <p>Senior Advisor, RiverCrossing Strategies (2010-Present): Provides a wide range of services to clients, including Washington representation, strategic planning and policy development.</p> <p>President, The Clark Group (2001-2010): One of the founding partners. Led a variety of NEPA projects for Federal agencies with a regulatory, procedural, policy and compliance focus.</p> <p>Assistant Secretary of the Army (Jan. 2001-May 2001) Principal Deputy Assistant Secretary of the Army for Installations and Environment (May 1999-April 2001): Served as Chief Operating Officer for 75 members of the Installations and Environment organization consisting of scientists, engineers, other professionals and non-technical staff.</p> <p>Associate Director, White House Council on Environmental Quality (CEQ) (Sept. 1994-May 1999): Advisor to the President, the Chair of the Council, and the White House staff regarding national environmental policy. Mediated interagency disputes regarding environmental policy.</p> <p>Acting Chair, CEQ (Jan. 1994 – Sept. 1994) Senior Policy Analyst, CEQ (Jan. 1992-Jan. 1994): During President Bush's Administration carried out the Council's legislative mandate for oversight of NEPA by initiating special studies and analyses.</p> <p>Assistant for Environment, Office of the Secretary of the Army (Jan. 1988-Jan. 1992) Adjunct Faculty, Duke University Nicholas School for the Environment (Nov. 1987-Present):</p> | |



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Developed and continue to lecture in environmental policy and NEPA courses at the Nicholas School of the Environment.

Environmental Protection Specialist, Office of the Chief of Engineers, U.S. Army Corps of Engineers (July 1986-Jan. 1988)

Chief, Environmental and Natural Resources Office at the U.S. Army Chemical and Military Police Schools (Aug. 1979 – July 1986):

Principal advisor to the Commanding General on environmental and natural resource matters. Responsible for compliance with environmental laws and regulations.

Environmental Specialist, State of Alabama Department of Public Health (June 1977-Aug. 1979):

Evaluated land to determine suitability for solid waste disposal and subdivisions. Held public meetings.

Selected Project Experience:

Finding solutions to complex NEPA issues: Retained by the Department of Homeland Security to advise and write NEPA analyses on the Western Hemisphere Travel Initiative and to write the first Department of Homeland Security NEPA regulation.

U.S. Naval Oceanographic Office (1969-1974)

Surveyed and developed navigation charts in Mediterranean, Caribbean and Southeast Asia.

Reviewed and approved NOAA NEPA Regulations while at CEQ (1992-1998)

Reviewed EA/EIS affecting oceans (1980-1998)

River Surveys of Viet Nam (1968)

Developed chart of the riverine system in Viet Nam, set tide gages.

Contracts with NOAA fisheries in SE and California to teach NEPA to ocean scientists (2003-2009)

Consultant for client with 1300 acres on Gulf of Mexico interested in Conservation Development and Resiliency Planning (2013-2014)

Finding new ways to improve environmental protection:

Developed and established the Middle-Georgia Clean Air Coalition. The coalition's mission is to develop and promote strategies for improving air quality.

After Gulf spill got contract with BOEM to train Washington level policy people (2011)

National contract to teach 6 Coast Guard Training courses (2010-2011)

Working with Congress:

Working with the Senate Finance Committee and the House Ways and Means, we conceived of and helped pass major tax legislation encouraging investment in redevelopment of brownfield sites.

Restoring Salmon in the Puget Sound Region (2001 – 2012):

Working with the Northwest Indian Fisheries Commission to develop a strategy to ensure the effects of fishing plans are sustainable.



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| HOLLY REUTER, JD | Assistant Project Manager |
| <p>Education:</p> <p>University of Houston Law Center Juris Doctor</p> <p>University of St. Thomas Bachelor of Arts, Business Administration</p> <p>Certifications, Professional Licensure, Affiliations, and Awards:</p> <p>Women's Energy Network</p> <p>DC Ecowomen</p> | |
| <p><i>Special Qualifications and Experience:</i></p> <p>Associate, The Clark Group, LLC:</p> <p>The Nature Conservancy: Managed research and contributed to a recommendations report for advancing the National Ocean Policy in Federal agencies. Mapped environmental requirements to the BOEM Smart from the Start initiative to further the National Ocean Policy's directive for Federal agencies to participate in coastal and marine spatial planning. Developed briefing slides to communicate information to leadership within CEQ, the National Ocean Council, and BOEM.</p> <p>Department of Veterans Affairs: Drafted a guidance manual to assist project managers with the National Environmental Policy Act. Drafted new environmental regulations and preamble for Federal Register notice. Collected and responded to internal comments on draft procedures. Currently developing administrative record for list of categorical exclusions and providing project management support.</p> <p>National Oceanic and Atmospheric Administration: Drafted a NOAA compliance manual to implement procedures for Executive Order 11988, <i>Floodplain Management</i> and Executive Order 11990, <i>Protection of Wetlands</i>.</p> <p>National Oceanic and Atmospheric Administration: Led and drafted a series of compliance manuals and training slides to help NOAA-wide offices comply with hazardous material requirements, including storage, transport, and disposal.</p> <p>Federal Emergency Management Agency: Drafted environmental regulations and preamble for DHS environmental and historic preservation (EHP) requirements for Federal assistance applicants. Drafted administrative record to support revisions to list of categorical exclusions. Drafted EHP information collection form. Responded to internal comments on draft procedures. Provided research and analysis about environmental law and policy. Developed briefing slides to communicate progress. Provided project management and client support.</p> <p>Federal Emergency Management Agency: Assessed organizational effectiveness assessments of FEMA's environmental and historic preservation function. Conducted interviews and led research and analysis process for the organizational assessment.</p> <p><i>Previous Experience:</i></p> <p>Law Clerk, Council on Environmental Quality</p> <p>Graduate Research Fellow (environmental policy), University of Houston Law Center</p> | |



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Legal Intern, Environmental Protection Agency Region 6, Houston Office, Criminal Investigation Division

Legal Intern, Harris County District Attorney's Office, Environmental Crimes Division

Chief Articles Editor, Environmental and Energy Law and Policy Journal, University of Houston Law Center

Legal Intern, Texas Commission on Environmental Quality, Office of Public Interest Council

Law Clerk, 333rd District Court, Harris County



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| KAYE LYNCH-SPARKS, ESQ. | Research Analyst |
| Education: Loyola University New Orleans College of Law Juris Doctorate Appalachian State University Bachelor of Science in Psychology | |
| Certifications, Professional Licensure, Affiliations, and Awards: Commonwealth of Virginia Bar Membership | |
| <i>Special Qualifications and Experience:</i> Junior Associate, The Clark Group, LLC: <p>Department of Veterans Affairs: Collected and organized historic VA documentation to support revisions of Agency CATEXs. Currently writing the administrative record to support CATEX revisions.</p> <p>Federal Emergency Management Agency: Facilitated interviews with federal agency points of contact as well as with tribal and local sectors to gather information on the effectiveness of leveraging resources between agencies during environmental reviews. Analyzed findings and prepared reports on identifying opportunities for inter-agency coordination and leveraging of resourcing during environmental and historic preservations (EHP) reviews. Drafted guidance for EHP professionals to utilize tools developed to assist in inter-agency coordination and expedite EHP reviews.</p> <p>Regulatory Counsel, Stateside Associates, Washington, DC Identifying federal and state regulatory changes through reaching out to regulators and tracking committee activity. Analyzing regulatory requirements and changes impacting clients including the Clean Water and Clean Air Act and other environmental issues. Preparing written analyses that include relevant legislative and regulatory history, comparisons to existing or proposed legislation in other jurisdictions, and descriptions of potential operational impacts on clients.</p> <p><i>Previous Experience:</i></p> <p>Legal Fellow, United States House of Representatives</p> <p>General Counsel/Governmental Affairs Legal Intern, United States Green Building Council, Washington, DC</p> <p>Associate, Bonner Kiernan Trebach & Crociata, LLP, Washington DC</p> <p>Court Appointed Special Advocate, CASA for Children, New Orleans, Louisiana</p> <p>Law Clerk, Jefferson Parish District Attorney, Felony Division</p> | |



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| DEBI ROGERS | Quality Control Manager |
| Education: University of North Carolina Master of Business Administration Villanova University Bachelor of Science, Business Administration | |
| Special Qualifications and Experience: Affiliate, The Clark Group, LLC: <p>Department of Veterans Affairs, NEPA Regulations Revision: Served as technical editor and QA/QC lead for the preamble and regulatory text for the revised regulations.</p> <p>US-VISIT Programmatic Environmental Assessment, Department of Homeland Security: Served as Project Manager for a nationwide EA on the US-VISIT Program Strategic Plan managing all aspects of the project, including technical analysis, client communication, public involvement, quality control, and tracking budget.</p> <p>Duke University, Nicholas School of the Environment: Conduct course on “Implementing NEPA on Federal Lands and Facilities.”</p> <p>Independent Contractor (1995 – 2002): Provided a wide range of services to multiple clients with an emphasis on NEPA and environmental compliance.</p> Relevant Project Experience: <p>Terminal Doppler Weather Radar Environmental Impact Study, Federal Aviation Administration: Served as day-to-day manager and point of contact for controversial, multi-year EIS process. As a member of the Technical Assistance Contract team to the Wind Shear and Weather Radar Products Duties, ensured NEPA compliance; participated in and conducted agency-wide technical document review; developed and executed public participation activities; managed EIS work plan, budget, and multi-disciplinary team. Monitored compliance on mitigation commitments and interagency agreements.</p> <p>Section of Environmental Analysis and Office of General Counsel, Surface Transportation Board: Provided day-to-day support on all aspects of environmental analysis including NEPA compliance; EIS document preparation and technical review; briefings preparation, delivery, and review; coordination with Board and Secretary’s Office; conducting final review of deliverables and facilitating multi-consultant team communication efforts.</p> <p>International Association of Antarctica Tour Operators: Prepared a study for Association’s compliance with international protocol on activity in Antarctica and coordinated with U.S. Environmental Protection Agency.</p> <p>Drug Enforcement Administration: Facilitated a nation-wide series of meetings on a supplemental EIS for marijuana eradication.</p> | |



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SARAH TRUCKLE

LOGISTICS MANAGER

Education:

Vermont Law School

Juris Doctor and Master of Environmental Law and Policy, (Expected) May 2014

Vermont Law School

Master of Environmental Law and Policy

Johnson State College

Bachelor of Arts: Business Management and Political Science, *cum laude*

Certifications, Professional Licensure, Affiliations, and Awards:

Certificate in Non-Profit Management, Johnson State College

American Bar Association, Law Student Member (September 2011-Present)

Accelerated Language Program: French, Dartmouth College (July 2011)

Treasurer of A Global Partnership: Students for Children's Rights - concentrating on human trafficking and international genocides (2009-2010)

Student Volunteer and Advocate for the Johnson State College Women's Center (2008-2010)

Special Qualifications and Experience:

Research Analyst, The Clark Group, LLC (May, 2012-Present):

Federal Emergency Management Agency: Detailed analysis of over 200,000 data points, facilitating final project recommendations. The completed report includes actionable recommendations aiding in FEMA becoming a leader in EHP implementation.

NEPA Training: An in-progress project, which targets the education of municipality employees and developers. The research completed will inform state and municipal course participants as well as private sector participants the decision-making tools of the NEPA process. The project will contain a deliverable of a completed course-pack targeting the NEPA decision-making process as well as presentation materials.

Leahy Center for Lake Champlain: Assisted in the logistical planning and research of participants for the 2013 Leahy Center Environmental Summit. The Summit was a three day event that brought stakeholders from across the globe together to discuss innovation and planning for the future of Lake Champlain.

Engaged on projects regarding Energy Star for the **EPA**, NEPA regulations for **Veteran's Administration**, Agency mechanisms for implementing Executive Order's for **The Nature Conservancy**, EIS requirements for grazing for the **BLM**, and stakeholder analysis for water quality issues for a **non-profit research facility**.

Previous Experience:

Summer Clerk, Chittenden County State's Attorney's Office (May, 2013- August, 2013)

Student Assistant to the Director of Development and Alumni Relations, Johnson State College (January 2009 – August 2010)



**TO SUPPORT THE IDENTIFICATION OF OPTIONS TO ENHANCE INTER-AGENCY COORDINATION,
PUBLIC INPUT, AND THE USE OF DATA IN DECISION MAKING**

| | |
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| SIENA FACCILO | ADMINISTRATIVE ASSISTANT |
| Education: Montpelier High School Wesleyan University, Class of 2018 Environmental Policy | |
| <i>Special Qualifications and Experience:</i> Administrative Assistant, The Clark Group, LLC (August 2013-Present): Support projects and senior staff with research, written summaries, and strong technology and word processing skills. Prioritize tasks for maximum office efficiency, sit-in and record meetings for later review, and organize data into useful formats. Administrative Assistant, Thunder Mill Design, Inc. (June 2011-July 2013): Organized offices files, paid bills efficiently, and managed QuickBooks to lay the groundwork for smooth business system. Private Piano Teacher (August 2011-Present): Instruct students, ages five through forty-five, in piano technique, theory, reading sheet music, and musicality. Maintain consistent business practices and schedules. Summer Sonatina International Piano Camp Intern (June 2009-Present): Teach private piano lessons and master classes three times a day and care for children, ages six through sixteen. Organize and facilitate group activities, learning experiences, and games, and prepare meals. <i>Previous Experience:</i> Castegren Custom House Administrative Work (2002-2004): Sat-in on and recorded meeting minutes with architect and client, and kept calendar of important deadlines for bills, invoices, contractors, designers, and painters. Vermont Global Issues Network (VTGIN) (April 2012): Discussed environmental issues in-depth with students, teachers, lawyers, politicians, farmers, and community members alike. From those discussions, developed a model for a public garden on the high school grounds. The food grown there would only travel a mile or two to the tables on which it will be eaten. We planned to request public help and construct it the next year. Cultural Exchange and Volunteer Trip with Planting Hope (February 2011): Worked with nonprofit organization Planting Hope in rural Nicaraguan towns to raise the standard of living there. Designed and constructed a nature center on the local coffee plantation to provide workers with necessary agricultural information needed to sustain a thriving, well-fed community. Introduced and presented information on sustainable growing methods and distribution of goods to local workers. Tutored local high school students in English. Organized a mass-collection of books, school supplies, and basic household items needed in the small villages of Nicaragua. Third Place in the Vermont Young Musicians Award competition (August 2012): Competed against some of the best rising Vermont musicians in a live audition. Chosen to be one of six finalists to play in final concert for judges. Named the third place competitor going into senior year against five music conservatory-bound graduates. | |

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Appendix B: Related Experience

FEMA Unified Federal Review (July 2013-Present)

The Clark Group is currently working with the Federal Emergency Management Agency, The Department of Homeland Security, the White House Council on Environmental Quality and the Advisory Council on Historic Preservation to develop a Unified Environmental and Historic Preservation Review Process for disaster recovery projects in accordance with the Sandy Recovery Improvement Act of 2013 (P.L. 113-2). The Clark Group was selected to support this effort because of our unparalleled expertise in NEPA and Federal environmental laws and policy coupled with our hands on project management approach that enables us to effectively manage a diverse team of stakeholders working under extremely tight deadlines. To support this effort TCG is:

- Facilitating Interagency Meetings
- Conducting Stakeholder Interviews
- Providing policy and process improvement recommendations
- Developing public engagement strategies
- Creating Interagency Processes and Agency Guidance Documents
- Supporting the development of a website and web-based tools for environmental compliance
- Writing the report detailing the findings and recommendations of the UFR Team
- Developing performance metrics
- Leading and supporting webinars with diverse groups of stakeholders

Reference: Angela Gladwell
FEMA
Angela.Gladwell@fema.dhs.gov

Advancing Marine Stewardship in Federal Agencies (2012 – 2013)

The Clark Group supported The Nature Conservancy to assess and provide recommendations on furthering the National Ocean Policy through leveraging existing environmental regulatory requirements. The goal of this work was to engage the National Ocean Council and agencies with mission programs related to ocean resources (e.g., BOEM, Navy, others) on ways to achieve the Policy's directive for incorporating marine stewardship principles into agency decision-making.

Our team evaluated existing regulatory mechanisms to understand what requirements agencies are facing to implement their mission programs. These mechanisms included adaptive management, ecosystem-based management, National Environmental Policy Act (NEPA) review, etc. Our research and interview process culminated with a recommendations report to TNC on how agencies can use NEPA principles to advance marine stewardship, including ocean planning. Our team prepared and delivered briefings on our recommendations to the National Ocean Council representatives, CEQ, and BOEM agency leadership. In addition, we have briefed non-governmental organizations engaged on ocean issues (e.g., Pew, Ocean Conservancy, others) on this effort through leading a conference call presentation and discussion.

Our team also prepared a report that identified and mapped several ocean-related environmental regulations (e.g., ESA, MMPA, Magnuson-Stevens Act) to the BOEM Smart from the Start Initiative to demonstrate ways that marine stewardship can be advanced through a specific federal program. This report identified strategic communications recommendations related to ocean planning, NEPA and marine stewardship.

Reference: Kameran Onley, Director – U.S. Government Relations
The Nature Conservancy
E-mail: konley@tnc.org
Phone: 703-841-4229

NROC review of proposals: To Support the Identification of Options to Enhance Inter-Agency Coordination, Public Input, and the Use of Data in Decision Making

Bidder:

Reviewer:

Date:

1. *Approach (30%). Evaluate bidders on the detail, clarity, and soundness of their approach to this project, including strategies for overcoming any potential obstacles, creativity, and cost effectiveness. Strategies for maximizing expert stakeholder involvement will be a significant portion of this evaluation.*

Points (30 maximum):

Comments:

2. *Qualifications and experience of project team (30%). Evaluate a project team members' combination of education, training, and record of achievement and experience related to the tasks described in this RFP. Specific attention will also be focused on an assessment of a project team's direct experience with potential subject matter and with experts in pertinent fields.*

Points (30 maximum):

Comments:

3. *Cost Effectiveness (20%). Evaluate the budget submitted with their responses to this RFP. Any leveraging of existing work, funding, or other in-kind services, will be a significant portion of this evaluation*

Points (20 maximum):

Comments:

4. *Project Management (20%). Evaluate bidders' ability to complete the project within the schedule provided, track record of project management, and proposed project management strategies for this project.*

Points (20 maximum):

Comments:

Total Points:

Overall comments:



Request for Proposals: To Support the Identification of Options to Enhance Inter-Agency Coordination, Public Input, and the use of Data in Decision Making

Questions received by January 8, 2013 deadline, and responses.

1. *Could you please provide any clarification about the timing of your review and decision process after the January 27 submission deadline?*

Answer: We expect to review proposals and make a final decision 2-3 weeks after the proposal deadline.

2. *Could you provide any information to clarify the timing of the various events in the RFP? It seems like a very tight timeline.*

Answer: We recognize the tight timeline and expect some events might shift once we get started. That said, we are hopeful that most of the agency and non-governmental engagement will occur in the first 4-5 months and that the work will be completed in October to inform future decisions and other related work. We ask that respondents propose a timeline that they can achieve and fits with their approach. Respondents should recognize that they will have logistics and other support for large meetings and events from our public engagement contractor, the Consensus Building Institute. This should enable the selected contractor to focus on content and outcomes and alleviate some of the concerns associated with the timeline.

3. *It appears that there has been a lot of work completed in advance of this RFP - is there an incumbent?*

Answer: There is no incumbent contractor for this work. Much of the previous work referenced in the RFP has been completed by staff and an internal work group. In addition, the Marine Law Institute at the Roger Williams University School of Law (RWU) is preparing an overview of existing regulatory and environmental review authorities that will serve as important background for this work. RWU has developed this review of regulatory authorities using their own funding and kindly offered it to NROC and the Northeast RPB for use in ocean planning.

4. *Putting travel costs aside, does a firm from outside of the northeast have a disadvantage? Can we cluster meeting and events?*

Answer: Besides travel costs for in-person meetings, there is no disadvantage to a firm outside of the northeast assuming all requirements and relevant experience requested in the RFP are met. We intend to work with the selected contractor to schedule all meetings and events. Clustering of meetings and events to accommodate travel is possible. In addition, we have a contract with the Consensus Building Institute (CBI) to help with logistics and other aspects of larger meetings and events.

5. *In addition to various regulatory authorities, why is there a specific mention and focus on NEPA?*

Answer: Based on preliminary internal discussions, there is a sense that NEPA can provide a framework for coordination across regulatory and environmental review agencies.

6. *Where do we foresee meetings being held?*

Answer: Agency meetings will likely be held in each state and at the regional or district headquarters of each federal agency. We're asking respondents to propose an approach for engaging non-governmental participants, including meeting locations.

7. *When will the RWU work referenced in Task 1 be completed?*

Answer: The RWU overview of regulatory and environmental review authorities will likely be completed in early to mid-February – about the same time we expect the selected contractor to begin work. Therefore, we don't expect this to affect the timeline of events and deliverables. The overview from RWU will not be available before proposals are due on January 27th.



Request for Proposals:

**TO SUPPORT THE IDENTIFICATION OF OPTIONS TO ENHANCE INTER-
AGENCY COORDINATION, PUBLIC INPUT, AND THE USE OF DATA IN
DECISION MAKING**

RFP Issued:

December 18, 2013

Proposals Due:

January 27, 2014

Northeast Regional Ocean Council Request for Proposals: TO SUPPORT THE IDENTIFICATION OF OPTIONS TO ENHANCE INTER- AGENCY COORDINATION, PUBLIC INPUT, AND THE USE OF DATA IN DECISION MAKING

Part 1: Scope of Work

- 1. Statement of Purpose:** The Northeast Regional Ocean Council (NROC) is seeking proposals for contractor assistance to provide support and expertise to the Northeast Regional Planning Body (RPB) in identifying potential options for enhancing inter-agency coordination, public input, and the use of data in existing regulatory processes as part of ocean planning activities in New England. NROC is issuing this proposal on behalf of the RPB, which is the formal entity (pursuant to the National Ocean Policy) with the responsibility of developing a regional ocean plan for New England. Work conducted under the contract stemming from this Request for Proposals (RFP) will directly support regional ocean planning activities in New England.

The RPB has established “Effective Decision Making” as one of its three overarching goals for regional ocean planning in New England and is finalizing objectives and actions aimed at achieving these goals. Draft objectives for the “effective decision making” goal include enhancing inter-agency coordination and public input into decision making and incorporating spatial data products developed for regional ocean planning into existing decision making processes. (See draft objectives and actions document available on-line at www.northeastoceancouncil.org.)

To assist with guiding its work in achieving this goal, the RPB has formed an internal Regulatory Work Group that includes federal and state agency and tribal representatives. The work group is focusing on the implementation of existing regulatory programs related to several specific types of ocean development: energy infrastructure, aquaculture (particularly in federal waters), sand and gravel extraction, and carbon sequestration, as a potential new emerging use. The work group’s charge is to develop options to improve decision making under existing authorities through better coordination, enhanced public input opportunities, and consistent use of data and other baseline information for consideration by the RPB, whose review will provide opportunity for public review and comment on advancing any such efforts.

The intent of this RFP is to hire a contractor to conduct research on relevant existing authorities for the several, specific types of ocean development described above. Additionally, the contractor will assist in engaging regulatory agency personnel and regulatory professionals from the non-

governmental sector (industry and public interest organizations) in developing specific options to help achieve the goal of effective decision making. Informed by this research and engagement activities, the contractor will help develop options for the RPB's consideration to advance the above-described "effective decision making" goal.

2. Background: Executive Order 13547 "Stewardship of the Ocean, Our Coasts, and the Great Lakes" provides for the establishment of Regional Planning Bodies to develop coastal and marine spatial plans that are consistent with and build on existing federal and state decision making processes. The Northeast Regional Planning Body, composed of federal, state, tribal, and New England Fishery Management Council representatives, first convened in November 2012 in Portland, Maine. In its subsequent public meetings and dialogue, the RPB has completed the following main initial tasks as a foundation for its on-going planning efforts:

- a. **Development of draft goals and actions** which were the subject of a series of public meetings during a comment period in May-July 2013 and which will be finalized and adopted at the January 2014 RPB meeting;
- b. **Identification of basic principles for regional ocean planning in New England**, including statements of purpose regarding the need to conduct a transparent, open process that is inclusive of stakeholders; and
- c. **Development of a draft work plan** that includes tasks necessary to meet the region's objectives for ocean planning, including identifying ways to enhance regulatory decision making.

The work of the RPB is being directly supported by grants for regional ocean planning obtained by the Northeast Regional Ocean Council (NROC). NROC, established by New England's Governors in 2005, is a state-federal partnership formed to identify solutions to New England's most pressing ocean and coastal issues that require a regional response. NROC member states are Connecticut, Rhode Island, Massachusetts, New Hampshire, Maine, and Vermont. Federal agencies, including the National Oceanic and Atmospheric Administration, the Department of the Interior (U.S. Geological Survey, Bureau of Ocean Energy Management, U.S. Fish and Wildlife Service, and National Park Service), U.S. Environmental Protection Agency, U.S. Department of Agriculture, Department of Homeland Security (U.S. Coast Guard), and U.S. Army Corps of Engineers, have been full members of NROC since its inception. Individuals representing the New England states and federal agencies are in many cases members of both NROC and the RPB. The RPB also includes representatives from each of the federally-recognized tribes in New England, as well as a representative of the New England Fishery Management Council.

The general geographic focus of the RPB's work is on estuarine and marine waters from Long Island Sound north around the waters south of Rhode Island and Massachusetts and through the Gulf of

Maine. Stakeholders participating in this regional ocean planning effort come from each of the New England states and the state of New York. Collectively, they reflect the wide variety of people who use, recreate on, or are concerned with the productivity and health of New England's ocean waters and resources. This group includes people from various industries, such as shipping, energy, fishing, boating, and aquaculture, recreational interests, and environmental advocacy groups, as well as academic and government scientists and others.

Stakeholders have been engaged in on-going regional ocean planning in several different ways, including participation at formal RPB meetings, involvement with specific projects that have been undertaken, such as the 2012 Northeast Recreational Boating Survey, and participation in targeted efforts to discuss ocean planning issues. For example, the RPB held workshops in late 2012 with the maritime commerce, energy and aquaculture industries to foster awareness of and solicit ideas to inform its work.

For more information on the RPB and other activities underway in support of regional ocean planning, see on-line information available at www.northeastoceancouncil.org.

- 3. Objective:** The primary objective of this RFP is to support the RPB's work in developing options about how decision making could be enhanced through increased agency coordination and the use of regional data and other supporting information. The primary period of performance is expected to be from February through October of 2014, with the potential for additional funding based on final results and RPB decisions about how to proceed.

It is expected that this work will be completed through research that builds on prior policy research on pertinent existing authorities. Much of this will consist of engaging federal and state agencies and regulatory professionals working with industry and public interest groups through individual meetings and in RPB-organized workshops. The contractor will be expected to help prepare for and document each meeting, summarize results, present at RPB meetings or ocean planning workshops, and produce a final project report. The final project report will summarize the implementation of existing authorities in New England and identify options for enhancing pertinent decision processes, with particular attention on the use of regional data products and options for using the National Environmental Policy Act (NEPA) process and permitting through the US Army Corps of Engineers as primary vehicles to coordinate environmental review among state and federal agencies.

Due to the expected level of outreach over a relatively short period of time, project management and team structure will be a key consideration in evaluating proposals and would preferably include:

- A single, senior-level point of contact responsible for implementing the tasks in this RFP who also has significant, relevant experience with NEPA and pertinent regulatory

authorities as implemented in New England. This includes experience with data required for NEPA analysis and regulatory review, inter-agency consultation and coordination, project management, and related matters; and

- Capability to provide meeting support as needed for the outreach and engagement efforts identified as integral to this research effort.

As stated above, the RPB is focusing this work on authorities related to the siting of offshore energy infrastructure, aquaculture in federal waters, sand and gravel extraction, and carbon sequestration, as a potentially new and emerging use. Thus, the focus of this work will be on federal authorities, including those administered by states, which are specifically related to the siting, leasing, permitting, or environmental review of these ocean uses, including but not limited to NEPA, the Coastal Zone Management Act, the Clean Water Act, and the Endangered Species Act.

Proposals should provide detailed information about how the tasks described below will be conducted, documented, summarized, and managed. Proposals should also describe the lead researchers' experience with related topics, and their familiarity and experience working with the agencies and stakeholders that will be engaged. Lastly, proposals should include a detailed budget for each task that provides an itemized explanation of the estimated work hours needed to complete it and the basis for and assumptions underlying each such estimate. NROC welcomes creativity within the scope of these requirements in responses to this RFP.

Task 1: Review existing research on regulatory authorities

The Marine Law Institute at Roger Williams University's School of Law (RWU) is currently preparing a written overview of existing regulatory and environmental review authorities related to the siting of the types of ocean development activities described above to assist the RPB with this research effort.

For Task 1, the contractor will review the draft overview which RWU produces and will identify any additional authorities to be included or other additions or corrections needed to ensure its accuracy and completeness. The contractor will complete this task through additional targeted research, with the assumption that its research will supplement RWU's research, which is intended to identify and summarize the majority of pertinent authorities. The outcome of this task will be a final version of the draft document prepared by RWU.

This task is anticipated to be completed in the first month of the contract.

Task 2: Support and document discussions with regulatory and environmental review agency staff in the region

In addition to the written assessment described in Task 1, ocean planning staff and Regulatory Work Group members have begun discussions with staff at federal regulatory and environmental review agencies in the New England region. These discussions have the following basic objectives:

- a. to better understand the on-the-ground implementation of existing regulatory and related environmental review authorities in the region;
- b. to identify ways that regional ocean planning products (including the Northeast Ocean Data Portal and topic-specific mapping products) could be developed to enhance their utility in a regulatory (project review) context; and
- c. to discuss potential additional options and specific means by which, state-federal interagency coordination could be enhanced under existing authorities.

The purpose of this task will be to support an additional round of individual meetings with federal and state agencies to advance progress on these objectives. This includes preparing for and documenting the results of these agency-by-agency meetings by producing meeting materials and meeting summaries. These summaries will be used by the RPB to help inform development of specific options and topics for further discussion, particularly related to enhancing agency coordination and the utility of regional ocean planning “products”, including data, maps, and other information being provided through the Northeast Ocean Data Portal (www.northeastoceandata.org). Due to the nature of these topics, more than one meeting may be needed with some individual agencies. Thus, for purposes of responding to this RFP, proposals should assume participation in approximately 8-10 federal agency meetings and 5-6 state agency meetings (one for each coastal New England state with the potential for a meeting with New York), the majority of which will be in person. In addition to the objectives above, meetings with state agencies will be used to identify any additional state authorities that may need to be considered for these types of ocean development activities. These federal and state agency meetings will be a focus during the first 4-5 months of this contract.

In addition to meetings with individual agencies, the contractor will organize and convene as part of this Task at least one joint meeting of all the agencies which have been or will be consulted. The timing of this meeting, to be determined in consultation with the Regulatory Work Group, is intended to ensure optimal use of time and is currently expected to be early in the contract term. The contractor will be expected to assist in convening this joint meeting to discuss the results of the prior meetings and work group deliberations, and to help refine issues for further exploration. The contractor’s responsibilities will include: assistance with agenda formation and preparation of meeting materials; presentation of summaries of meetings with individual agencies to date; and preparation of meeting notes. It is anticipated that this initial joint meeting will include agency

representatives only. (See tasks 3 and 4, below, for additional activities intended to engage the public).

Task 3: Support engagement of non-governmental regulatory professionals

In addition to the regulatory agency staff who will be engaged through Tasks 1 and 2, the RPB is also interested in the perspective of persons in the non-governmental sector, such as consultants, attorneys, or other professionals working for industry, industry associations or conservation-focused non-governmental organizations, who have direct, professional experience with environmental permitting and review of regional-scale or regionally-significant projects of the types identified above on topics, such as:

- a. How existing environmental review and regulatory authorities are implemented on-the-ground by government agencies in New England;
- b. Potential ways to enhance state-federal, inter-agency coordination, as well as communication and coordination among regulatory agencies, project proponents and others participating in regulatory processes; and
- c. Ways that regional ocean planning products, including the Northeast Ocean Data Portal and topic-specific geo-referenced data and maps, could be developed to enhance their utility in a regulatory (project review) context.

The purpose of this task will be to assist ocean planning staff in engaging knowledgeable regulatory professionals to discuss these issues, and will occur roughly in a parallel timeline as the work in Task 2. The contractor will be expected to assist ocean planning staff and RPB members in determining how to engage these professionals and to support and document these engagement opportunities. The contractor will prepare meeting summaries that will be used to help inform development of specific options and topics for further discussion.

Proposals should include an approach to engaging professionals from both industry and environmental non-governmental organizations. The assumption is that a range of engagement activities will be necessary, including in-person meetings, phone calls, and other opportunities for feedback. It is also expected that potential engagement opportunities could be organized or identified through regional conservation organizations and business associations, such as the Environmental Business Council of New England.

Respondents should provide specific details regarding their suggested approach to this task, including how regulatory professionals will be identified, the organizations which will be engaged, specific methods of engagement, assumptions about level of effort (i.e. number of engagement events or meetings), rationale, and the respondents' previous experience working with these organizations.

These meetings will be a main focus during the first 4-5 months of the contract. The contractor will be asked to produce a draft engagement plan in consultation with staff and the Regulatory Work Group as an early deliverable in the first month.

Task 4: Summarize findings of Tasks 1-3 and prepare materials in support of a public workshop

The purpose of this task will be to prepare a summary of the results of Tasks 1-3, particularly focused on the outcomes of Tasks 2 and 3, including specific options for achieving the goal of “effective decision making” for discussion at a public workshop. This workshop is tentatively scheduled for late spring of 2014. The logistics and overall facilitation of this workshop will be addressed separately by staff and other consultants. The contractor will provide input into these workshop components and will also:

- a. Produce a written summary of the findings of Tasks 2 and 3, available in advance for public review and comment;
- b. Present these findings at the workshop;
- c. Support the development of case studies to help communicate specific opportunities to enhance agency coordination, the public process, and the use of data in decision making;
- d. Assist in documenting the results of the workshop; and
- e. Review a draft workshop summary.

Task5: Develop final report, including options

The purpose of this task will be to produce a draft and final report summarizing the project, results of Tasks 1-4, and final options for the RPB’s consideration. It is anticipated that a draft report will be submitted for review approximately two months after the workshop discussed in Task 4. Following review by the RPB and ocean planning staff, including consideration of public comments, the final report incorporating revisions adopted by the RPB will be submitted in September or October of 2014. In preparing the final written report, the consultant will document all appropriate aspects of the work conducted under the contract resulting from this RFP and produce the report in a form suitable for publication and posting on a publicly accessible website for downloading.

4. **Project Funding.** The overall budget for this project is approximately \$75,000. NROC reserves the right to re-allocate this funding if a satisfactory candidate(s) for this service is not determined or the services are no longer needed.
5. **Deliverables:** Proposals should include a detailed work plan, including a description of proposed approaches and methods to be used to complete Tasks 1-5. The review of proposals will be based in

part on a consideration of demonstrated experience in relevant ocean or coastal regulatory and environmental review-related issues in New England. The following deliverables are anticipated:

- a. Revisions and additions to on-paper summary of existing regulatory authorities, per Task 1
 - b. Meeting agendas and summaries per Tasks 2 and 3
 - c. An engagement plan for Task 3
 - d. Supporting and summary materials for workshop (including case studies), as described in Task 4
 - e. Draft and final project reports, as described in Task 5
6. **Project schedule:** NROC expects that work on this project will start immediately following completion of a contract and will extend through October, 2014. Proposals should include a detailed timeline that considers the general guidance provided in this RFP and the specific approaches that are proposed.

Part 2: Proposal Preparation and Submittal

The following sections describe the procedures and content for submitting proposals.

1. **Pre-submittal conference call.** NROC will host a pre-submission conference call to allow potential respondents to ask clarifying questions on January 8, 2014 at 1:00 pm. Instructions to participate in this conference call will be sent to all people who express their interest via email at least 24 hours before the conference call.
2. **RFP clarification.** Questions and requests for clarifications regarding this solicitation should be sent to the email contact below. The deadline for submitting such an email is January 7, 2014. Responses will be posted to the NROC web-site on January 8, 2014, by 5:00 pm. Questions should be sent to:

Proposal@northeastoceancouncil.org

John Weber, Ocean Planning Director
Northeast Regional Ocean Council

4. **Submittal requirements.** For review purposes, NROC requires responses to this RFP to be delivered electronically, via email as an Adobe™ .pdf file, to Proposal@northeastoceancouncil.org. Proposals must be received by email no later than 5:00 pm on January 27, 2014, and shall plainly identify the subject of the proposal and the name, phone, email, and address of the bidder.

It is the bidder's responsibility to ensure that NROC receives the proposals prior to the specified closing date. Proposals received after the specified closing date will not be considered.

5. Content requirements. Proposals must be clear, succinct and shall not exceed 10 pages. Section dividers, cover letter, title page, and table of contents do not count in the overall page count of the proposal. Exclusions to the page limitation may include relevant work samples and/or resumes, as described below, provided in appendices. Each bidder is required to describe how they will provide the deliverables described above as part of their proposal. Information provided will be evaluated and scored; missing elements will adversely impact a proposal's overall score.

a. General requirements:

- i. Single-spaced pages when printed on 8.5" x 11" paper with 1-inch margins (top, bottom, left and right) with font no smaller than 11 point.
- ii. The total number of pages must not exceed 10 pages (not including appendices).
- iii. The proposal must be submitted as an Adobe™ .pdf document with all pages numbered and clearly identifying the name of the bidder.

b. Proposal organization and content:

- i. Cover letter. Provide a cover letter indicating your organization's commitment to implementing this initiative (e.g. senior management approval, etc.). Also, include appropriate point of contact information, including the person's name, title, address, phone number and email address.
- ii. Table of contents. Identify page numbers of main sections, including any appendices.
- iii. Executive summary. Summarize the proposal's approach to completing the tasks required by this RFP and highlight any competitive advantages or unique approaches of your proposal, cost-effectiveness measures, and particular skills offered by the project team.
- iv. Work plan. Include a concise, yet detailed work plan for completing the tasks described in this RFP and to ensure appropriate management of the scope, schedule, budget and overall quality of work. Include a time line showing implementation, starting from contract execution, including all major tasks and their sequence, inter-relationships and dependencies between tasks and key milestones and deliverables.
- v. Detailed budget. Provide an itemized budget to for the tasks described in this RFP. Include all costs related to personnel (identify estimated hours and rate), administrative overhead, travel, materials, equipment, and any other anticipated expenditures

required to complete the work described in this RFP. In this budget description, describe leveraging of existing work, funding, or other in-kind services.

- vi. Team structure and qualifications. Please provide the following:
- Project team organization chart, including a brief description of the role of each team member.
 - Summary of the experience, skill or unique attribute of each team member. Including a maximum two-page resume for each team member is allowable in a “resumes” appendix.
 - Summary of related, successful projects that illustrate the capabilities and qualifications of the project team. In addition, providing a maximum two-page description of up to two recently-completed projects is allowable in a “related experience” appendix. Include references that NROC may contact for these projects.

Proposals must identify any tasks which will be assigned to subcontractors and associated budget details include in part v above. The successful bidder will be prohibited from subcontracting, assigning, or transferring any listed responsibilities without prior review and consent of NROC.

Part 3: Evaluation of Proposals

This section summarizes the general process and criteria NROC intends to use to evaluate proposals.

1. **General review process.** The NROC Ocean Planning Director will collect and assemble all proposals received by the RFP deadline. An evaluation team comprised of RPB members (and/or their staff designees) and the NROC Ocean Planning Director will be convened to evaluate and score all proposals, using the criteria below. Upon completion of the scoring process, the evaluation team will recommend to the RPB co-leads and the NROC Executive Committee that the highest scoring bidder be awarded the project.
2. **Criteria.** NROC will score all proposals according to the following criteria:
 - a. *Approach* (30%). Bidders will be evaluated on the detail, clarity, and soundness of their approach to this project, including strategies for overcoming any potential obstacles, creativity, and cost effectiveness. Creativity in approach to accomplishing the tasks in this RFP is urged.
 - b. *Qualifications and experience of project team* (30%). NROC will evaluate a project team members’ combination of education, training, and record of achievement and experience related to the tasks described in this RFP. Specific attention will also be focused on an assessment of a project team’s direct experience with the subject matter.

- c. *Cost Effectiveness* (20%). Bidders will be evaluated on the budget submitted with their responses to this RFP. Any leveraging of existing work, funding, or other in-kind services, will be a significant portion of this evaluation.
- d. *Project Management* (20%). Bidders will be evaluated on their ability to complete the project within the schedule provided, track record of project management, and proposed project management strategies for this project.

Part 4. General Provisions

The following general provisions apply to this RFP and subsequent actions taken by NROC.

1. Response to this RFP does not commit NROC to award a contract or to pay any costs incurred during the preparation of the proposal.
2. NROC reserves the right to reject any or all of the proposals for completing this work. NROC also reserves the right to cancel or reissue the RFP at any time.
3. NROC reserves the right to eliminate the need for the selected bidders to complete one or more tasks, pending the outcome of preceding related tasks or issues, and/or the availability of project partners to complete that task.
4. NROC reserves the right to modify the final scope of work and deliverables prior to finalizing a contractual agreement with the selected bidder(s).
5. Subsequent procurement, if any, will be in accordance with an executed contract. This RFP and any response may, at NROC's discretion, become part of the executed contract.
6. All entities participating in this RFP process will be notified of acceptance or rejection. NROC reserves the right not to disclose reasons for the rejection. NROC is not obligated to accept the proposal with the lowest cost.
7. No publicity or media release about this RFP, response to this RFP, discussion of any kind related to this RFP, or the award of any contract related to the bid document, may be released without NROC's prior approval.
8. All materials submitted by bidders become the property of NROC. NROC will retain copies of all proposals for historical records and documentation.
9. Each Bidder agrees to comply with all federal regulations including those pertaining to non-discrimination in hiring and employment practices.
10. NROC owns all rights to deliverables and, within the bounds of acceptable practice as determined by limitations placed upon data used in this project by data providers, intends that products resulting from this project will be made publically available.